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Man1-ID: MAOPP1 MANUAL OF ADMIN OPERATIONS AND PROCEDURES PART 1

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## | SECTION 5. PERFORMANCE|APPRAISALS,|RECOGNITION AND AWARDS

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### | 5-1 PERFORMANCE|APPRAISAL|SYSTEM |(PAS)| (See MAOP, Part 1, 21-2(4); & Legal Attache Manual, 4-2.)

| The|PAS|was designed to integrate the performance-related facets of personnel management. It encompasses not only performance appraisal, but also|employee development and|performance-based personnel decisions|such|as promotions,|Office of Preference| transfers, within-grade and quality step increases, and superior accomplishment awards. The|PAS|covers all non-Senior Executive Service employees.

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#### 5-1.1 Purpose

| The purpose of the|PAS|is to provide a tool for executing basic management and supervisory responsibilities by:

- (1) Communicating and clarifying agency goals and objectives;
- (2) Identifying individual accountability for the accomplishment of organizational goals and objectives;
- (3) Evaluating and improving individual and organizational accomplishments;
- (4) |Evaluating employees' development needs and providing them with guidance and/or resources to help them improve their performance; and|
- (5) | Using the results of performance appraisal as a basis for adjusting basic salary, determining performance awards, training, rewarding, reassigning, promoting, reducing in grade, retaining, and removing employees.

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### | 5-1.1.1 An Overview of the PAS

| The FBI has developed a PAS designed to ensure an effective and fair performance appraisal process. This system is designed both to create a partnership between employees and supervisors in the performance appraisal process and to focus on the developmental aspects of employee performance.

#### | (1) Definitions

| Under the PAS, FBI JOB TITLES (with the exception of those found only in the Senior Executive Service) have been categorized into JOB FAMILIES, or groups of jobs, where similar work is performed.

| These job families are an important part of the PAS because each employee's performance is evaluated based on the critical elements identified for his/her job family.

| CRITICAL ELEMENTS are the rating components that will be used to evaluate employees' performance. There are two types of critical elements, CORE critical elements and SPECIALIZED critical elements. CORE critical elements are relevant for all persons in a given job family, whereas SPECIALIZED critical elements may only be relevant for some persons in a job family (depending upon their position's requirements). In order to be a critical element, a work assignment or responsibility must be of such importance that unacceptable performance on the element would lead to a summary performance rating indicating that the employee's overall performance is at the Does Not Meet Expectations level. This, in turn, could serve as the basis for the employee's reduction-in-grade, reassignment, or removal from the FBI.

| PERFORMANCE STANDARDS explicitly define the performance expectations for each of the critical elements. Performance standards change as one advances in performance levels or is assigned to a position in a different job family. Therefore, for each critical element, multiple levels of performance standards are provided that describe the performance expectations of employees at different grade levels.

| PERFORMANCE LEVELS are based upon the specific job family, specific grade, and other various factors (e.g., the type of work performed).

#### | (2) General Description

| The PAS includes some elements of the former performance appraisal system, but also incorporates several novel elements specific to the new PAS. Similar to the previous system, standard rating periods for the performance appraisal process will begin and end at one-year intervals. At the beginning of the process, supervisors will provide employees with a Performance Plan containing a detailed description of the performance expectations established for the employee's position and grade level. Approximately midway through

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| the rating period, employees will participate in a Progress Review Session with their supervisors. During this session, employees will have the opportunity to share their views of their performance with their supervisors and obtain from supervisors feedback regarding their performance. The formal Performance Appraisal Session, conducted at the end of the performance appraisal period, completes the performance appraisal process. During this session, supervisors discuss employees' Performance Appraisal Report (PAR) ratings with them.

| Several of the new elements incorporated into the PAS are the rating levels and the use of job families, performance standards and performance levels. Performance will be evaluated using two rating levels, Meets Expectations and Does Not Meet Expectations. In addition, supervisors will provide developmental recommendations which will act as a guide for how employees can improve their performance. These recommendations will not be furnished to any other FBI personnel or become part of the employee's official personnel records. For more detailed information regarding employee development refer to the "PAS Employee Development Manual" and the "PAS Supervisor Handbook."

| The FBI's PAS has been designed to accomplish two major objectives. The first objective is to measure job-relevant performance in a clear, fair and systematic manner. The second objective is to provide supervisors and employees with tools, resources and information that will encourage employee development and career management. It is expected that this system will both foster employee/supervisor communication and facilitate employee development.|

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## **5-1.2 Responsibilities**

The Personnel Officer is responsible for the overall administration of the FBI's|PAS|as it applies to Special Agent and support personnel. In this regard, the Personnel Officer shall ensure that the performance appraisal and recognition processes are properly administered and applied. At any time deemed appropriate, the Personnel Officer or his/her designee will conduct a substantive review and validation of any|Performance Plan/PAR|and institute any actions necessary to ensure compliance with applicable law, regulation, or policy as set forth herein. The specific responsibilities of other executives, management officials and supervisors follow:

(1) Heads of offices (e.g., Special Agents in Charge | |(SAC)|or Assistant Directors) shall personally ensure that:

(a) Employees under their jurisdiction are adequately informed of their rights and responsibilities under the |PAS|in a timely manner;

(b) Managers and supervisors under their

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jurisdiction who serve as rating and/or reviewing officials are given training and periodic reminders of their duties and responsibilities under the PAS, in addition to receiving supplementary directives as necessary;

(c) Managers and supervisors under their jurisdiction are made fully aware of the design of the system, including the job family structure, performance levels and the distinction between core and specialized critical elements;

(d) Periodic evaluations of the performance appraisal processes within their offices are conducted and that only employees whose performance Meets Expectations, as defined by their critical elements and performance standards set forth in their Performance Plans, are rated at the Meets Expectations level;

(e) Ratings of record issued to employees in their offices are approved;

(f) Performance-based personnel action recommendations are reviewed and approved; and

(g) Development needs are identified and communicated to employees and that employees are afforded guidance and/or assistance to improve as needed.

(2) Reviewing officials are at a higher organizational level than rating officials and are normally the supervisors of rating officials and as such will ensure that:

(a) PARs completed by rating officials are reviewed and accepted or adjusted as warranted; and

(b) Rating officials provide advice or instruction as appropriate to subordinates.

(c) Deleted

(3) Rating officials are supervisors, including those employees with the word supervisor, manager, officer, or foreman in their position titles and/or position description. They are normally the employees' immediate supervisors who train, assign and review the employees' work. In appraising subordinates, rating officials are to:

(a) Collect and maintain specific examples of employees' accomplishments and deficiencies and any developmental information (e.g., development needs, development goals) throughout the rating period;

(b) Afford guidance, developmental feedback and developmental opportunities (where feasible) to all subordinates;

(c) Issue PARs to employees as prescribed; and

(d) If applicable, review the performance appraisal practices of subordinate supervisors and provide advice as

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appropriate.

- | (e) |Deleted|
- | (4) Employees subject to the|PAS|are responsible for:
  - | (a) Participating, as requested, in|discussions regarding their Performance Plans at the beginning of the performance appraisal period;|
  - | (b) Actively engaging in performance discussions during Progress Review Sessions,|Performance Appraisal Sessions,|and at other appropriate times; and
  - | (c) Maintaining current knowledge of their rights and responsibilities under the|PAS.|
- | (5) The Performance, Recognition and Awards Unit (PRAU) is responsible for:
  - | (a) Administering, coordinating and managing the FBI's PAS;
  - | (b) Reviewing PARs issued at the Does Not Meet Expectations rating level to ensure compliance with applicable law, regulation, and the PAS policy;
  - | (c) Providing, as the Personnel Officer's designee, a substantive review of Reconsideration Requests to ensure compliance with applicable law, regulation, and the PAS policy and to make recommendations to the Personnel Officer regarding action to be taken;
  - | (d) Reviewing performance-based action recommendations based on performance at the Does Not Meet Expectations rating level and making recommendations to management of the Administrative Services Division on action to be taken; and
  - | (e) Providing guidance/training to rating and reviewing officials in the applications of the PAS with respect to the interrelationship with other human resource areas such as discipline, promotions, within-grade increases, and other recognition matters.|

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### **5-1.3 Authority**

| The FBI's|PAS|was designed in accordance with applicable portions of Title 5, United States Code, Chapter 43, and Title 5, Code of Federal Regulations, Parts 430 and 432. Through the appraisal process, employees are placed on notice of the critical functions/duties|associated with their job family and performance level and of the performance standards they are expected to meet.|

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Performance appraisal information controls and/or influences various personnel actions.

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## **5-2 PERFORMANCE PLANS**

(1) **ISSUANCE OF A PERFORMANCE PLAN:** An original Plan, comprised of a Notice page and Critical Element and Performance Standard(s) pages is to be issued within 30 days of the beginning of an employee's entry on duty, an employee's change in position due to a change in grade outside of his/her performance level, an employee's change in position due to reassignment to a position outside his/her performance level or reassignment to a position outside his/her current job family. |The employee's appraisal period will begin the day he/she signs the Plan.| The original Plan, in its entirety, must be entered into the Bureau Personnel Management System and maintained by the office of origin. The original Plan is to be forwarded to FBIHQ, only when a PAR is completed. At that time, if the PAR is issued at the MEETS EXPECTATIONS level, the Plan along with the original PAR is to be forwarded to Personnel Records, Records Management Division. (See 5-4.6.1.) If the PAR is issued at the DOES NOT MEET EXPECTATION level, both the PAR and the Plan must be forwarded to the PRAU for review. A copy of the Plan must be retained by the issuing office.

(2) **MODIFYING PERFORMANCE PLANS:** Performance Plans reflect performance expectations for the job family and performance level as established by a thorough job analysis. Therefore, the content of Performance Plans cannot be modified in any way (i.e., no additions, deletions, or adjustments to Performance Plans are allowed).

(3) **RENEWAL OF PERFORMANCE PLANS:** When the same Plan is being continued from one annual appraisal period to the next, the rating official and employee must review the Plan, including each critical element and Performance Standards page within 30 days after the beginning of the new period. |The employee's appraisal period will begin the day he/she renews the Plan.| The annual renewal of notice of the Plan must be documented by the rating official and the employee by initialing and dating the Notice Page inside the Plan renewal block. Failure to renew Plans will result in invalidation of PARs.

(4) **PERFORMANCE STANDARDS:** Define the performance expectations associated with each critical element and performance level identified for a job family and are expressed in terms of

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quality, quantity, timeliness, or other appropriate measurement criteria. Rating levels to be used to assign a performance rating to each critical element are as follows:

(a) Meets Expectations: Employee consistently meets the standards.

(b) Does Not Meet Expectations: Employee repeatedly fails to meet one or more of the standards, such that performance is well below expected levels.

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### **5-3 PROGRESS REVIEWS**

(1) A progress review is an evaluation of an employee's progress toward achieving a performance level. Rating officials are responsible for imposing and maintaining appropriate controls to permit the assessment of employees' performance throughout the appraisal period. At the midpoint of the appraisal period, rating officials must conduct Progress Review Sessions with their subordinates. If an employee's appraisal period is altered by a change in grade that results in the employee being placed in a different performance level in his/her job family or placed in a different job family, the rating official must institute a review session approximately midway through the newly established rating period. Although employees are, at a minimum, to be advised of their level of performance on each critical element in relation to the measurement criteria in the performance standards, supervisors are

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| also responsible for providing developmental feedback to employees to  
| address improvement, where needed. However, advice regarding  
| performance appraisal rating levels is not to be construed as an  
| official rating. An employee cannot request reconsideration of  
| his/her progress review ratings.

(2) Progress reviews are mandatory and may be conducted orally. At the conclusion of the Progress Review Session, the date of the review is to be recorded by the rating official inside the Progress Review block on the Notice Page of his/her copy of each subordinate's Performance Plan.

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## **5-4 PERFORMANCE-RELATED DOCUMENTATION**

(1) PERFORMANCE APPRAISAL REPORTS (PARs): A PAR is comprised of a Cover Page, Evaluation Page(s), and Narrative Page(s) (for Does Not Meet Expectations rating only). An employee must have served at least 90 calendar days on notice of his/her critical element(s) and performance standards before a PAR may be issued.

| When an employee is issued a PAR within 90 days of his/her End of  
| Annual appraisal period, the PAR may be marked as an End of Annual  
| PAR, and another PAR does not need to be issued to satisfy the End of  
| Annual period requirement.

(2) REVIEWING PARs WITH EMPLOYEES: Most performance appraisal procedures are to be accomplished through direct contact with the employee. Inasmuch as certain assignments may preclude face-to-face contact because of geographic location or the sensitive nature of the assignment, telephonic contact may be considered an appropriate substitute. When personal contacts are not possible for a reason other than undercover assignment, performance appraisal documents are to be forwarded to the employee in an envelope marked "Personal and Confidential" for his/her review and subsequent signing and dating. (NOTE: Rating officials are discouraged from including classified information in PAR narratives. However, if necessary to include, they must ensure classified material is appropriately marked.) Upon issuance of a PAR, a copy will be furnished to the employee.

(3) PROVIDING DEVELOPMENT FEEDBACK TO EMPLOYEES: In addition to discussing performance appraisal ratings with employees, supervisors are responsible for assigning developmental recommendations to their subordinates and providing them with a development plan (if appropriate) that specifies that actions they should take to improve their performance. Developmental recommendations are to be communicated only between supervisors and their subordinates and will not be furnished to any other FBI personnel or become part of employee's personnel records. Developmental Plans, however, are considered official documents and may be shared with the reviewing official and/or higher level

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| management. |

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| (c) | Deleted |

| (d) | Deleted |

| (e) | Deleted |

| (f) | Deleted |

| (4) | MAINTENANCE AND DESTRUCTION OF PERFORMANCE-RELATED  
| INFORMATION/DOCUMENTATION: | Performance-related information and  
| documentation is defined as any material gathered, prepared and/or  
| maintained by an employee's team leader, supervisor, rating official,  
| and/or reviewing official, for the exclusive purpose of evaluating the  
| employee under the Bureau's performance appraisal process. This may  
| include, but is not limited to, information maintained in any  
| performance file or folder, other than the employee's official FBIHQ  
| or field office personnel file. | Unless otherwise instructed by FBIHQ,  
| all performance-related information and documentation, | including, but  
| not limited to information maintained in any performance file or  
| folder, other than the employee's official FBIHQ or field office  
| Personnel File, | must be maintained for a period of one calendar  
| year | from the date of the End of Annual PAR. Further, any and | all  
| performance-related information and documentation, | whether maintained  
| in the employee's performance folder or otherwise, which is not part  
| of the employee's official FBIHQ or field office Personnel File, | must  
| be destroyed within | 30 days | after the expiration of the one-year  
| period as specified above.

| (a) | Information or documentation which is relevant  
| to a pending complaint, charge, or internal investigation should be  
| maintained until final resolution of the matter. Performance-related  
| information and documentation which is maintained pending a complaint,  
| charge, or internal investigation will be destroyed one year from the  
| date the matter becomes final. |

| (b) | Any copies of file review sheets and/or FD-865  
| Performance Assessment forms, which are maintained in an employee's  
| performance folder/used in determining an employee's performance  
| rating must be destroyed as instructed above. However, the above  
| provision does not apply to original file review sheets and FD-865s  
| which are maintained for inspection and other purposes not related to  
| the performance appraisal process. |

| (5) | EMPLOYEE ACCESS TO PERFORMANCE INFORMATION AND  
| DOCUMENTATION: Rating and reviewing officials are to make available  
| to each employee, upon request, any and all performance-related  
| documentation, whether maintained in the employee's performance file  
| or folder, or otherwise, which has been or will be used as a basis  
| for, or the development of, a Progress Review Session or PAR.

| |(See 5-5.1.)|

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(a) Copies of classified documents (e.g., PARs, progress review information) may be released to an employee; however, the employee should not release such material to any other individual, without proper authority.

(b) There may be particular circumstances which preclude the release of certain performance-related information or documentation to the employee. These circumstances may include, but are not limited to, information or documentation which is relevant to a pending complaint, charge, or internal investigation. For guidance on withholding performance-related information or documentation, rating officials should consult with the PRAU.

(c) If a rating official makes a decision to withhold performance-related information or documentation from an employee who has made a request pursuant to this policy, the employee will have the right to appeal the rating official's decision to the SAC or head of office. This appeal must be in writing, and must be submitted to the SAC or head of office within 15 business days of the denial of access to this material. The submission must then be reviewed and a written response provided to the employee within 10 business days of the receipt of the employee's appeal.

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#### **5.4.1 Appraisal Periods**

Employees' performance is to be appraised on an annual basis, according to the following schedule:

(1) Special Agents (SAs): April 1 through March 31. For probationary SAs, see MAOP, Part 1, 5-4.3.

(2) Support:

(a) Field: July 1 through June 30.

(b) FBIHQ: December 1 through November 30.

(c) Criminal Justice Information Services/Finance Divisions: March 1 through February 28.

(3) All Supervisory and Managerial Agent and Support Personnel: Grades 1 through 15 (includes wage board supervisors): November 1 through October 31.

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## **5-4.2 Types of PARs**

### **(1) End-of-Annual Period**

(a) Special Agents (SAs): A PAR will be completed immediately after March 31 for any employee who has not received a PAR since January 1 and who has been in grade and on notice of critical elements and performance standards for at least 90 days. For probationary SAs, see MAOP, Part 1, Section 5-4.3.

(b) Support: A PAR will be completed immediately after February 28 (CJIS/Finance Division(s), June 30 (field), November 30 (FBIHQ) for any employee who has not received a PAR since December 1/April 1/September 1, respectively, and who has been in grade and on notice of critical elements and performance standards for at least 90 days.

When an employee has not received any PAR and is not eligible for a rating by February 28 (CJIS/Finance Divisions), June 30 (field), November 30 (FBIHQ) for support personnel and March 31 for SA personnel, the annual period must be extended until the employee completes 90 calendar days on notice of his/her critical elements and performance standards. The next annual period begins the day the employee renews his/her plan.

(c) Supervisory and Managerial Personnel Agent and Support: A PAR will be completed immediately after October 31 for any supervisory/managerial employee who has not received a PAR since August 1, and who has been in grade and on notice of critical elements and performance standards for at least 90 days.

(2) Position Change/Transfer: Whenever an employee is scheduled to leave his/her official position, due to reassignment, promotion, or demotion, that results in a change to the employee's job family, grade, or performance level, a PAR will be completed. This type of PAR can only be completed after meeting the 90-day appraisal requirements since the employee's last rating.

(3) Headquarters' Request: When a recommendation is due for the denial of a within-grade increase (WIGI) and the last PAR issued is over six months old or the WIGI denial decision does not support the rating of record, FBIHQ will request a PAR. When requested by the Inspection Division and/or the PRAU.

(4) Current Appraisal: Whenever an employee's last rating is more than 90 days old and the office desires to update performance appraisal information or to capture performance to date when a significant change in duties occurs (e.g., change from reactive squad to Chief Division Counsel), a PAR will be completed. A current PAR, covering at least a 90-day period, is necessary when a WIGI decision is not supported by the rating of record. Also, a PAR is required in some instances after the issuance of a Warning Resolution.

(5) Warning PAR: Whenever an employee's performance is

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| judged to be at the Does Not Meet Expectations level in any critical  
| element, a PAR will be completed. |

| (6) | Warning Resolution: At the conclusion of an  
| opportunity period to resolve an employee's warning status, a PAR will  
| be completed. |

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### **5-4.3 Probationary Agents (See MAOP, Part 1, 5-4.1 and 5-4.2.)**

(1) In accordance with the provisions of the Probationary Agent Program (PAP), as set forth in the MAOP, Part 2, Section 8, the first annual period for new SAs ends upon completion of the first year on duty, and the second annual period ends upon completion of the second year on duty (see MAOP, Part 1, 21-1). Subsequent annual periods are in accordance with established PAS policy.

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| (3) | Deleted |

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### **5-4.4 Issuance of PARs**

(1) When an appraisal is due, the rating official must review his/her documentation of the employee's performance to determine the level achieved on each critical element in which the employee has had the opportunity to perform by comparison with the performance standards of the employee's Performance Plan. In preparing PARs at the end of the annual period, the rating official must also consider any prior PAR issued during the annual period. The appraisal of a disabled veteran may not be lowered because the veteran has been absent from work to seek medical treatment.

(2) Supervisors must maintain documentation regarding both positive and deficient employee performance as it occurs throughout the rating period. When issuing a PAR, a narrative summary of an employee's performance must be provided to the PRAU, FBIHQ, only for critical elements to which a supervisor assigns a Does Not Meet Expectations rating. The narrative for this rating must include the assistance to be afforded to the employee in improving. Such assistance must include reviewing with the employee his/her Performance Plan to reconvey the performance requirements for his/her job family and performance level. Additional assistance may include,

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but is not limited to, formal or informal training, counseling, change in work assignments, and closer supervision. (See MAOP, Part 1, 5-4.7 and 5-4.7.1.)

(3) When issuing a PAR because of inspection results, the head of office must ensure that a current PAR is prepared and issued which will cover the employee's performance since the period covered in the last PAR. The rating official must consider and include in the PAR narratives for "Does Not Meet Expectations" ratings only, information from the inspection report, as well as other documented performance information, pertaining to performance which took place since the period covered in the last PAR. (NOTE: If 90 days have not passed since the end of the period covering the last PAR, issue the PAR once 90 days have passed.)

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**| 5-4.5| Determining Summary Ratings|(Formerly 5-6)|**

A rating of Does Not Meet Expectations on any critical element results in a Summary Rating of Does Not Meet Expectations regardless of the Meets Expectations performance level achieved on other critical elements.

**PERFORMANCE LEVELS**

Meets Expectations

Does Not Meet Expectations|

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**| 5-4.6| Prior Review of PARs by the Reviewing Official |(Formerly 5-4.5)|**

The PAR must be submitted to the reviewing official, who must be at a higher level in the organization than the rating official, for approval BEFORE it is presented to the employee. The reviewing official has the authority to accept or modify any PAR in keeping with the proper application of these provisions.

Modifications to a PAR must be justified in writing and such comments, to include specific examples of performance that support the rating level, are to be attached to the PAR.

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**| 5-4.6.1| Entry of PARs into the Bureau Personnel Management System (BPMS)|(Formerly 5-4.6)|**

PARs are to be entered into the BPMS no later than 42 days after the appraisal period has ended. After each PAR is entered, a notation in box 10 on the PAR Cover Page should include the initials of the individual who entered the PAR in BPMS; the date the PAR was entered; the date of the Performance Plan which was used to rate the employee; and the date of the Plan Renewal if applicable. PARs rated at the Meets Expectations rating level are to be forwarded to Personnel Records, along with the original Plan. WHEN THE SAME PLAN IS BEING RENEWED FROM ONE APPRAISAL PERIOD TO THE NEXT, THAT PLAN DOES NOT HAVE TO BE SENT TO PERSONNEL RECORDS. (See 5-2.) If a PAR is issued at the Does Not Meet Expectations level, it must be forwarded to the PRAU for review along with the Plan. This is necessary for the PRAU to ensure that the employee has been placed on the correct Plan for his/her job family, and performance level, and to ensure that the Does Not Meet Expectations rating is properly documented and in compliance with the PAS policy.

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**| 5-4.7 Personnel Actions Based on "Does Not Meet Expectations" Ratings (See MAOP, Part 1,|8-8.4 and|14-4.2.)**

(1) Assistance must be provided to employees in improving performance rated at the Does Not Meet Expectations level. In this regard, at any time an employee's performance in one or more critical elements is rated at the Does Not Meet Expectations level, the rating official must review the Performance Plan with the employee to reconvey the performance requirements of his/her position and performance level through formal or informal training, counseling, closer supervision, or other appropriate means, such as a reassignment. The rating official must append a separate statement on plain white bond paper, as part of the PAR, stating the assistance to be offered to the employee. (Also see MAOP, Part 1, 5-4.4 and 5-4.7.1.)

(2) In some instances, performance may be found to be of such significance (e.g., demonstrating a reasonable potential for jeopardizing physical safety) that treatment through the performance appraisal process would not be appropriate; therefore, the office may request reassignment to another position without affording the employee a 90-day opportunity period. Other situations may combine poor performance and actions subject to policy governing disciplinary matters, as set forth in the MAOP, Part 1, Section 13. Except in cases meeting requirements for action under BOTH the PAS AND disciplinary policy, it is generally unnecessary and inappropriate to recommend a disciplinary action such as probation when issuing a Warning PAR.

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(3) A Does Not Meet Expectations rating is a basis to reassign, reduce in grade or remove an employee. Such remedial action may be taken only after an employee has been provided with notice of the performance that led to the Does Not Meet Expectations rating, in the form of a Warning PAR and given a 90-day opportunity period to demonstrate performance that Meets Expectations.

(4) Deleted

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#### **5-4.7.1 Warnings, Resolutions, and Personnel Recommendations (See MAOP, Part 1, 5-4.4 and 14-4.2.)**

(1) Warning PAR/NARRATIVE SUMMARIES must be provided for EACH critical element rated at the Does Not Meet Expectations rating level. Narratives for these critical elements must include specific instances of the performance that demonstrate a clear rationale for a Does Not Meet Expectations rating. The rating official must append a separate statement on plain white bond paper, as part of the PAR, regarding the assistance to be offered to the employee to improve. (See 5-4.7.) Such assistance must, without exception, include affording the employee the opportunity to review his/her Performance Plan, thereby reconveying the requirements of the Meets Expectations rating for each critical element, which must be achieved/maintained throughout the opportunity period. A copy of the employee's Plan must be submitted to the PRAU, FBIHQ, along with the PAR. This is necessary for the PRAU to ensure that the employee has been placed on the correct Plan for his/her job family, and performance level, and to ensure that the Does Not Meet Expectations rating is properly documented and in compliance with the PAS policy.

(a) Length of Opportunity Period - The opportunity period is uniformly set at 90 calendar days for all employees. An office may extend the opportunity period for an additional 30 calendar days if the rating and reviewing officials determine that the employee (1) has improved, (2) may yet achieve the Meets Expectations level if given some additional time, and/or (3) requires additional time due to an unusual circumstance, such as absence due to sick/maternity/military leave. Given concurrence by the head of the office, a written communication regarding such extension must be forwarded to the PRAU.

(b) Interruption of Opportunity Period - Once an employee is given a Warning PAR, he/she should NOT normally be reassigned/transferred prior to the completion of the opportunity period. Circumstances may necessitate the reassignment/transfer of an employee to protect an investigative operation or the employee; however, generally, reassignments/transfers are supervisory options which should be exercised before issuing a Warning PAR.

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(c) Termination of Opportunity Period - To terminate an employee's opportunity period for any reason (e.g., reassignment, transfer, or at the employee's request) will nullify that employee's chance to demonstrate positive performance with respect to the critical elements in question. As a result, the Warning PAR must be considered unresolved, and no recommendation for reduction in grade or removal may be made. The office should notify the PRAU of such termination by written communication.

(2) Warning Resolution PAR - At the completion of the opportunity period, a Warning Resolution PAR must be prepared. The Resolution PAR is to reference the Warning PAR and document the employee's performance during the opportunity period. Narrative summaries of performance at the Does Not Meet Expectations level must be provided for EACH critical element and must include specific examples of performance demonstrated and the level achieved during the opportunity period. The narrative for any element rated at the Does Not Meet Expectations level must include a description of the assistance afforded. When the Resolution PAR satisfies the end-of-the-annual-period requirements, the rating official must consider all performance and/or ratings issued for the same grade level during the annual period.

(a) Positive Resolution: If the employee consistently demonstrates performance at the Meets Expectations level for a critical element during the opportunity period, a PAR must be issued at the Meets Expectations level at the end of the opportunity period. If all elements are rated Meets Expectations, the Warning is considered to be resolved at a positive level and no recommendation for remedial action may be made.

Jeopardy Period - When a warning is resolved at a positive level, a separate statement on plain white bond paper, initialed by the employee, must be appended to the PAR indicating that the employee has been advised of his/her responsibility to maintain an acceptable level of performance. The statement must include advice that failure to maintain at least the Meets Expectations level in the critical elements for which the opportunity period was provided, for one year from the date of issuance of the Warning PAR, will be cause for the immediate issuance of a PAR at the Does Not Meet Expectations level and the submission of an appropriate recommendation for personnel action (i.e., reassignment, reduction-in-grade or removal). NOTE: The PAR must be forwarded to the PRAU.

(b) Negative Resolution - If the employee continues to perform at the Does Not Meet Expectations level during the opportunity period, a recommendation by the SAC or head of office, in accordance with Title 5, United States Code, Section 4304, to reassign, reduce in grade, or remove is to be set forth in a cover communication forwarding the PAR to the PRAU. The recommendation must be based on the unacceptable performance addressed by the Does Not Meet Expectations - Warning Resolution PAR and should reflect consideration of the employee's record - a factor not addressed by the PAR, but appropriate for inclusion in the recommendation for personnel action.

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| (NOTE: Failure to issue|Warning|and Warning Resolution PARs in a  
| timely manner|may preclude|the consideration of some of the  
employee's unacceptable performance in supporting reduction-in-grade  
or removal decisions.)

1. Approval of Recommendation - When FBIHQ  
approves a recommendation to reassign, reduce in grade or remove the  
employee based on a PAR at the|Does Not Meet Expectations|level, the  
employee is entitled to: 30 days' advance written notice of the  
proposed action. This notice will be provided to the employee  
by FBIHQ. The written notice will identify instances of less  
| than|Meet Expectations|performance, as well as actions taken to assist  
the employee to improve, advise the employee of his/her right to  
representation by an attorney or other counsel, and provide the  
employee with 10 days to respond to the proposed action orally and  
in writing.

2. Expiration of the 30-day Notice Period -  
Upon expiration of the 30-day Notice Period, action will be taken by  
FBIHQ to reassign, reduce in grade, or remove the employee, unless  
otherwise notified by the head of office.

3. Written Decision - A written decision will  
be provided by FBIHQ. This decision will describe instances of less  
| than|Meet Expectations|performance by the employee on which the  
reassignment, reduction in grade, or removal is based. A written  
decision to reassign, reduce in grade, or remove the employee will be  
made as soon as practicable after the date of expiration of the  
notice period. Furthermore, in the case of a reassignment, reduction  
in grade, or removal, the decision must be based on those instances  
of unacceptable performance by the employee which occurred during the  
one-year period ending on the date of the advance written notice of  
the proposed action. The employee will also be advised in this  
decision of any appeal rights available to him/her.

(3) If, because of an improvement in performance by the  
employee during the notice period, the employee is not reassigned,  
reduced in grade, or removed, and the employee's performance continues  
to be acceptable for one year from the date of the advance written  
notice, the Warning Resolution PAR and ANY entry or other notation  
with reference to same MUST be removed from ANY OFFICE or FBIHQ RECORD  
relating to the employee.

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## **5-5 RECONSIDERATION REQUESTS (Formerly 5-6) (See MAOP, Part 1, 14-2.)**

| (1) |Requesting Reconsideration for Does Not Meet  
| Expectations Ratings: Employees may only request reconsideration of  
| Does Not Meet Expectations ratings.|

| (2) |Request Reconsideration for Developmental

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| Recommendations: The purpose of the developmental recommendations are  
| to provide supervisors with a tool for providing targeted, meaningful  
| feedback to employees on each critical element and to allow them to  
| work with their subordinates to improve performance where needed.  
| Given that there will be no official record of the developmental  
| recommendations, or official documentation for them, employees will  
| not be allowed to appeal or grieve them.|

| (3) |Request Reconsideration Based on Ratings Relevant to  
| their Job Family and Performance Level: Employees may only request  
| reconsideration for ratings based on critical elements relevant to  
| their job family and performance level (i.e., those critical elements  
| specified in their Performance Plan). That is, an employee will not  
| be permitted to request reconsideration based on the belief that  
| he/she should have been assigned to a different job family and/or  
| rated on a different set of critical elements. Similarly, an  
| employee is not allowed to file a grievance based on the belief that  
| he/she belongs in a different performance level than that identified  
| for his/her job family/grade.|

| (4) |Rating Information Communicated in the Progress Review  
| Session: Employees may not request reconsideration for information  
| communicated in the mid-year Progress Review Session. This is because  
| this discussion is considered to be an informal review of the  
| employee's performance, not an official communication of performance  
| appraisal ratings.|

| (5) |Deleted|

| (6) |Deleted|

| (7) |Deleted|

| (8) |Deleted|

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| (13) |Deleted|

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## **| 5-5.1 |Procedures for Requesting Reconsideration**

| Employees may request reconsideration for any Does Not Meet  
| Expectations performance appraisal rating that is assigned.

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(1) An employee who is dissatisfied with a rating of Does Not Meet Expectations must respond in writing to his/her rating/reviewing officials within ten business days of his/her receipt of the rating. A request for an extension of this time will be considered by the PRAU, FBIHQ, on a case-by-case basis. (Note: An employee of the Personnel Management Branch, Administrative Services Division must direct a reconsideration request of a PAR to the Deputy Assistant Director - Personnel Officer, Personnel Assistance and Facilities Management Branch.)

(2) An employee's written request must clearly identify the specific aspect(s) of the appraisal for which the employee seeks reconsideration (e.g., the name(s) of the critical elements for which a Does Not Meet Expectations rating was assigned). In addition, the request must clearly specify all relevant facts and performance-related information, which, in the opinion of the employee, support an adjustment to the PAR. In effect, this document must provide the factual basis upon which the employee chooses to request reconsideration of his/her performance appraisal. In the event that an employee seeks to receive a Meets Expectations rating for an individual critical element, the employee must provide sufficient documentation to support that action in his/her reconsideration request. The employee should not only refute the information in the PAR but also provide specific examples of work performance they believe is at the higher level.

(3) When a reconsideration request is filed by an employee, it will be the responsibility of his/her reviewing official to ensure that the rater and the employee attempt to identify not only the issues which are the basis for the employee's discontent, but, if possible, to reach an agreement on the factual basis for those issues as well. These discussions should serve to crystallize the specific, factual issues and/or points of disagreement between the rater and the employee in their respective assessment of the ratings assigned to the critical elements.

(4) An employee must be allowed a reasonable amount of work time, at the discretion of management, to prepare his/her reconsideration request. An employee must also be allowed access to the personnel folder/performance-related documentation maintained by the rating/reviewing officials, in order to prepare his/her reconsideration request. (See MAOP, Part 1, 5-4(5) for further information.)

(5) The reviewing official must review the submission by the employee and provide a written response to the employee within ten business days (a request for extension of this time will be considered on a case-by-case basis by the PRAU) commenting on the issues raised by the employee. This finding will set forth the action being taken by the reviewing official to resolve the reconsideration request and the rationale for his/her decision. This response should address the validity of the facts, if any, presented by the employee in his/her reconsideration request. Information considered by the reviewing official must be drawn from the narrative statements set forth by the rating official in the contested appraisal, additional facts presented by the employee in his/her reconsideration request, and any response

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| prepared by the rating official to that information.

| Issues/deficiencies which were not addressed in the contested  
| appraisal by the rating official may not be introduced by the  
| reviewing official in the reconsideration request process, unless in  
| specific response to new facts/issues presented by the employee. A  
| reviewing official may sustain and/or adjust rating levels for  
| critical elements in the appraisal, to include the Summary Rating.

| (6) If the reviewing official decides to adjust the  
| appraisal, he/she will change the appraisal document to reflect Meets  
| Expectations ratings for those critical elements in which he/she  
| believes the employee has met expectations. The reviewing official  
| will attach a copy of his/her written findings regarding the  
| reconsideration request. The reviewing official will then present  
| this document to the employee for review and signature. Subsequently,  
| the reviewing official must forward the adjusted PAR along with the  
| documentation supporting the adjustment to the PRAU, which will ensure  
| BPMS is updated to reflect the adjustment(s) to the PAR. (NOTE: If  
| all critical element ratings in the PAR at this point are at the Meets  
| Expectations level, the employee cannot pursue the matter any further,  
| even if he/she does not agree with the language in the reviewing  
| official's response. This is true inasmuch as the Meets Expectations  
| rating cannot be grieved, and the reconsideration request process is  
| designed to assist employees who are dissatisfied with their PAR  
| rating(s) not the verbiage contained therein.)

| (7) If the reviewing official decides to sustain the  
| rating(s), he/she must present his/her written findings to the  
| employee, who, in turn, must sign and date the document to indicate  
| formal notice that the document has been received.

| (8) If an employee wishes to continue his/her  
| reconsideration request of the appraisal following receipt of the  
| reviewing official's written decision, he/she must inform the  
| reviewing official and the Personnel Officer of that fact within two  
| business days (a request for an extension of this time will be  
| considered on a case-by-case basis by PRAU). The notice to the  
| Personnel Officer (Attention: PRAU) must be in writing.

| (9) Upon notification by an employee that he/she wishes to  
| continue the reconsideration process, the reviewing official must  
| notify the Personnel Officer (Attention: PRAU) of that fact by  
| telephone on that date and confirm the notice by written  
| communication. The written communication will also be used to forward  
| the originals of the reviewing official's written decision, the PAR,  
| Plan, and the employee's written responses to the rating/reviewing  
| officials, to the Personnel Officer (Attention: PRAU) for use in  
| adjudicating the reconsideration request.

| (10) A reconsideration by PRAU on behalf of the Personnel  
| Officer will include a review of the facts/issues discussed in the  
| employee's appraisal, those presented by the employee in his/her  
| reconsideration request, the information supplied by the reviewing  
| official, and rebuttal information provided by the employee. The  
| Personnel Officer will conduct a substantive review of those critical

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| elements contested by the employee. The Personnel Officer may sustain  
| or modify the level assigned to any critical element contested and, as  
| warranted, the Summary Rating, or invalidate the PAR to ensure its  
| compliance with policies governing the PAS. Normally, PRAU will  
| complete the action within 30 business days.

| (11) An employee will be informed in writing of the  
| decision of the Personnel Officer in adjudicating his/her  
| reconsideration request. Since the Director has delegated the  
| authority for adjudication of PAR reconsideration requests to the  
| Personnel Officer, the decision made by the Personnel Officer is  
| final.

| (12) In the event that a PAR is adjusted by the Personnel  
| Officer, a copy of the adjusted PAR will be provided to the issuing  
| division/office for the employee's review and for retention in lieu of  
| the original appraisal issued to the employee.|

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**| 5-5.2 |Moved to 5-6.2|**

\*\*EffDte: 10/09/1996 MCRT#: 595 Div: D3 Cav: SecCls:

**| 5-6 |Moved to 5-4.5|**

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**| 5-6.1 |Deleted|**

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**| 5-6.2 |Deleted|**

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**| 5-7 DELETED|**

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**5-13 RECOGNITION AND AWARDS**

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**5-13.1 Legal and Administrative Bases**

- 54                    (1) Title 5, U.S. Code Annotated, Chapters 45, 53, and
- (2) Title 28, Code of Federal Regulations (CFR), 0.137
- (3) Title 5, CFR, 430.501-506; 451.101-107; and
- 531.501-508
- (4) Departmental Order DOJ 1451.1A
- (5) The Director is authorized by the Attorney General  
to grant Quality Step Increases (QSI) to qualified employees at  
intervals of not less than 52 weeks, within the limits of available

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funds. The Director is also authorized to approve for Bureau  
| |employees special|achievement (incentive) awards up to \$5,000.  
Special achievement awards in excess of \$5,000 are referred to the  
| Department of Justice for|approval.|

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### **5-13.2 Purpose of Recognition and Awards**

(1) The primary objective of the awards program is to improve the economy and efficiency of government operations. Its purpose is to motivate employees to increase productivity and creativity by rewarding those whose job performance and adopted ideas benefit the government and are substantially above normal job requirements and performance standards.

(2) The FBI has established several means by which its employees may be recognized which are described in this portion of the manual. These include QSIs, incentive awards based|on special|achievement, and certificates of commendation. Bureau supervisors and managers should be knowledgeable of these means of recognition and should ensure that only the most deserving employees are recommended for recognition through these awards. They should also bear in mind that the performance level and contributions of employees being recommended for the same matter differ and should indicate same in their recommendations. Careful consideration should be given to the appropriateness of the award recommended in comparison to the performance or achievements of the employee.

(3) For all performance-related awards, the employee must be shown to have significantly exceeded the requirements of his/her position. The position description and performance appraisal of the employee will be reviewed, as applicable, to determine the propriety  
| of granting incentive awards. |The PRAU will provide  
| guidance/assistance for all offices concerning the application of  
  
| awards criteria and various award options in regard to those  
| recommendations deemed not meeting the criteria, including those  
| without appropriate and sufficient justification.|

(4) Promotions are ordinarily considered sufficient recognition of sustained employee performance and must be taken into consideration prior to the recommendation for an incentive award.

(5) Division heads and SACs should ensure, on at least an annual basis, that supervisory personnel are knowledgeable of the intent of the recognition program, and their effective use of the program should be taken into consideration with regard to their own performance.

(6) If an employee is assigned to an office other than the one making the recommendation for recognition, the employee's

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division head or SAC should be contacted, and the recommendation should state that the recommendation is being made with the concurrence of the employee's division head or SAC.

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## **5-14 QUALITY STEP INCREASES (See MAOP, Part 1, 8-8.1(2).)**

(1) QSIs are intended to recognize those exemplary employees whose sustained, high-quality performance is at a level that substantially exceeds an acceptable level of competence by authorizing faster than normal step increases. FBI policy provides that QSIs may be granted, within limits of available appropriations, on an annual basis. Therefore, FBIHQ will request recommendations for QSIs to be submitted in April of each year for Special Agent personnel; March for Criminal Justice Information Services (CJIS)/Finance Divisions' support personnel; July for field support personnel; November for Supervisory Special Agents and Professional Support managers; and December for FBIHQ support personnel other than the CJIS and Finance Divisions.

(a) The Performance, Recognition and Awards Unit will advise each division head and SAC, prior to the date recommendations are required, of the number of QSIs allotted for their respective offices. QSIs will be distributed at the discretion of management, not to exceed the authorized number of allotted QSIs.

### **(2) Criteria Necessary for QSI Nominations**

(a) An employee may be recommended for a QSI only when his/her annual performance appraisal reflects a summary rating of MEETS EXPECTATIONS with no critical element rated below Meets Expectations.

(b) As long as an employee has demonstrated sustained performance of high quality and has a Performance Appraisal Report on record at the Meets Expectations level, he/she can be considered for a QSI. Furthermore, the employee should be expected to remain in the same or similar position for at least 60 days following the awarding of the QSI. If an employee is scheduled for promotion within 60 days, he/she should NOT be recommended for a QSI.

(c) An award for a special act or achievement during the 52-week period is not disqualifying.

(d) The following employees may not be recommended for QSIs: Federal Wage Scale; employees who have reached step 10 of their GS grade; employees who have reached statutory salary limitations (the pay cap); employees whose salaries are fixed under the Executive Pay Act.

(e) A cash award may be recommended in lieu of a QSI

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for an eligible GS employee who has reached step 10 of their grade or when the employee would enjoy the benefits of a QSI for an insufficient length of time. Also, eligible Federal Wage Scale employees may be recommended for cash awards in lieu of QSIs.

(3) Documentation for QSI Recommendations (Form FD-608). FD-608 is to be used to submit nominations for QSIs. This form should be completed and submitted in duplicate. A narrative setting forth the accomplishments of the individual is required as an attachment to this form.

(4) Relationship to Regular Within-Grade Increases. An employee who receives a QSI does not start a new waiting period to meet the time requirements for a regular within-grade increase; however, if a QSI places the employee in the 4th or 7th step, the waiting period is extended by 52 weeks. For example, a QSI is awarded to an employee in step 3 who has completed 40 weeks of creditable service to the 4th step. After the QSI places the employee in step 4, a 2-year (104-week) waiting period, the employee will only require 64 more weeks of creditable service to complete the 104-week waiting period for advancement to the 5th step. (See MAOP, Part 1, 8-8.1(2).)

(5) Presentation of QSIs. To increase employee understanding of the QSI program, FBIHQ division heads, Assistant Directors in Charge, and SACs will make presentations of QSIs at an office ceremony attended by employees in the immediate work area, with statements of specific reasons why the employee's contribution merited the QSI, including its impact on the division.

(6) Deleted

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## **5-15 INCENTIVE AWARDS**

(1) Incentive awards are in addition to the basic pay of an employee and are based on the superior performance of work-related assigned tasks or performance of official duties, so that one or more important job elements are performed in a manner substantially exceeding normal requirements over a period of time or on special achievements or service-type contributions of a one-time, nonrecurring nature, connected with or related to official employment.

(2) Deleted

(a) Deleted

(b) Deleted

(c) Deleted

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(3) |Deleted|

(a) |Deleted|

(b) |Deleted|

(c) Deleted

(4) Criteria for Determining Individual(s) Eligibility  
| for Special Achievement Awards. |(See 5-15.2.)|

Due to the variety of circumstances and possible unanticipated factors that may influence an employee's performance, the following criteria should not be considered all-inclusive. Award nominations will be considered on a case-by-case basis; therefore, as much detail as possible concerning the employee's performance should be included to ensure an appropriate evaluation. The recommendation should also clearly state the complexity of the task(s) performed and the significance of the contribution(s). Furthermore, |the criteria specified for each of the categories within the 4-Category Award structure should be used to distinguish the level of recognition requested. The PRAU will not direct that a higher or lower award be granted, but will offer guidance regarding the proposed amount in light of the justification an office provides.

(a) |Category Award Structure

| CATEGORY A (\$300 - \$500)

| Accomplishment(s): Can result from any assignment or self-initiated contribution by an employee.

| Duties and Responsibilities: Work was within scope of position duties but extra effort applied.

| Impact: Typically addresses a short-term or reactive objective of minor to moderate complexity. Benefit may be limited to the immediate work area.

| CATEGORY B (\$501 - \$1200)

| Accomplishment(s): Typically results from an assignment with specified goals and time frames.

| Duties and Responsibilities: Work involved the sustained application of extra effort and/or the performance of additional duties.

| Impact: Attainment of a planned or reactive objective of moderate to difficult complexity which notably supports the mission of the unit, program, or squad.

| CATEGORY C (\$1201 - \$2000)

| Accomplishment(s): Must be associated with the objectives outlined under the FBI Strategic Plan. (SEE BELOW.)

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| Duties & Responsibilities: Work involved the sustained application of  
| extra effort and/or the performance of additional duties.

| Impact: Contributed toward the attainment of an objective under the  
| FBI Strategic Plan. (SEE BELOW.) Performance represents an  
| uncharacteristically high level of achievement.

| CATEGORY D (\$2001 - above)

| Accomplishment(s): Must be associated with the objectives outlined  
| under the FBI Strategic Plan. (SEE BELOW.)

| Duties and Responsibilities: Success was dependent upon the ability  
| to perform at a greater capacity than defined for the employee's  
| position.

| Impact: Contributed toward the attainment of an objective under the  
| FBI Strategic Plan. (SEE BELOW.) Performance serves as a model for  
| success and/or introduces new innovations in investigative strategy or  
| technique.

| FBI STRATEGIC PLAN:

| Support of the FBI's Strategic Plan 1998-2003 will play a pivotal  
| role in the submission of nominations for investigative achievements.  
| Before submitting nominations, all offices should take into  
| consideration and include reference to how the efforts being proposed  
| for recognition were in furtherance of the goals and objectives  
| established in the FBI's Strategic Plan. Moreover, nominations for  
| noninvestigative matters, not in association with special projects of  
| significant nature or direct support to operations, should include  
| reference to the employee's efforts that supported the FBI's  
| strategies. If such a link does not exist, other types of recognition  
| should be considered, e.g., Time Off from Duty (TD) Award, On-the-Spot  
| Award, or Certificate of Commendation.

| 1. Award nominations pertaining to complex,  
| long-term and/or major cases will be vetted by the Criminal  
| Investigative Division; recognition for national security issues will  
| be addressed by the National Security Division; and employees' efforts  
| regarding terrorism matters will be reviewed by the Counterterrorism  
| Division. Critical query checks on all award nominees will be  
| conducted by the PRAU.

| 2. SES members are ineligible for cash awards  
| throughout the year, and awards will be granted only incident to their  
| annual performance appraisals. Any exceptions would be based on  
| highly unusual events and would require the approval of the SES Board  
| and the Director. (See 5-15.4.)|

(5) Documentation Insufficient to Support Awards.

(a) An employee is successful in an investigation  
and performed in an excellent fashion but not beyond normal job  
expectations for his/her grade and experience.

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(b) An investigation which makes an interesting case write-up but which fails to describe what employee did to exceed normal job expectations.

(c) A case receiving favorable publicity but which does not describe employee's performance exceeding normal job expectations.

(d) Overtime for which an employee has been compensated by overtime pay or compensatory leave.

(e) Performance has not been work-related while on duty or in the performance of official duties.

(6) Group awards are granted to two or more employees who performed the same task and whose contributions are such that they are all considered equal. Each member of the group will be granted an equal amount of the overall group award.

(7) Multiple award recommendations may be made for two or more employees whose contributions to a particular situation are not considered of equal merit. These award amounts will be determined proportionate to each employee's contributions and the overall significance of the project/case; therefore, clear justification must be provided to ensure that all employees are recognized equitably. Recommendations for multiple awards should rank the employees to clarify the level of their contributions, utilizing the appropriate 4-category concept. To determine each employee's ranking, the complexity of their assigned duties and the significance of their contributions to the final results attained should be considered. The recommending official should make every effort to identify all employees contributing to the matter and include a statement at the end of the recommendation certifying that all reasonable steps were taken to ensure that all appropriate employees were considered for inclusion.

(8) Presentation of Awards. FBIHQ division heads, Assistant Directors in Charge, SACs, or individuals acting on their behalf, will make incentive award presentations with appropriate publicity to enhance the purposes of the awards program.

\*\*EffDte: 04/25/2001 MCRT#: 1096 Div: D3

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### **5-15.1 Form FD-255 (Recommendation for Incentive Award)**

(1) Form FD-255 should be used to submit recommendations for special achievement awards. Instructions on the form should be carefully followed and the documentation should include clear, specific statements of fact, including the following:

(a) The specific time frame employee worked on the project/case.

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- (b) The initiative displayed by the employee.
- (c) The complexity or difficulty of assignment and if it exceeded the level of work expected of employee's grade and job description.
- (d) Any unique situations or unusual circumstances and how they were handled.
- (e) The specific results achieved.
- (f) The significance of employee's efforts to the results attained.
- (g) Benefits obtained for office, overall Bureau, local community, intelligence community.
- (h) The request of the recommending office (cash award or certificate of commendation, ranking employees as appropriate).
- (i) Any prior award(s) employee has received for same project/case.

(2) Special Agent and support supervisors may submit FD-255s to their SACs or division heads recommending awards for employees under their supervision. The office/division head, or in their absence, the acting office/division head should personally approve the recommendation and then submit the form to the designated point of contact that handles awards matters.

(3) Form FD-255 may also be used to recommend awards under the Principal Relief Supervisors Program. (See MAOP, Part 1, 5-15.5.)

(4) Deleted

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## 5-15.2 Amount of Awards

Approval by the head of office for award amounts should be determined by using the established criteria for each category as set out in 5-15(4). The PRAU will not direct that a higher or lower award be granted, but will offer guidance regarding the proposed amount in light of the justification an office provides.

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\*\*EffDte: 12/17/1993 MCRT#: 172 Div: D3 Cav: SecCls:

**| 5-15.4 Senior Executive Service (SES) Cash Awards |(See 5-15 (4).)|**

SES members are ineligible for cash awards throughout the year, and awards will be granted only incident to their annual

performance appraisals. Any exceptions would be based on highly unusual events and would require the approval of the SES Board and the  
| |Director.|

\*\*EffDte: 04/25/2001 MCRT#: 1096 Div: D3 Cav: SecCls:

**5-15.5 Principal Relief Supervisor Awards (See MAOP, Part 1, 3-2.2 and 5-15.1 (3).)**

(1) Criteria for Nomination of Principal Relief Supervisor for an Incentive Award.

(a) The individual must have been officially designated as the principal relief supervisor or the Assistant Supervisory Senior Resident Agent for at least six months.

(b) The recommending official must state in the  
| submitting communication that the individual is at|the "Meets  
| Expectations" level in all of his/her duties.|

(c) The individual must perform or have performed relief supervisory functions an average of eight hours per pay period for at least the past six months; and

(d) The individual's performance in the principal relief supervisor capacity must be considered superior and documented as such on an FD-255 (Recommendation for Incentive Award). The field division head or acting field division head must personally endorse the recommendation.

(2) A qualified individual may only receive this particular award once in a 12-month period; however, the same individual may be recognized during subsequent 12-month periods if all  
| qualifications continue to be met. |Head(s) of offices have been  
| authorized to grant principal relief supervisor awards in amounts up  
| to \$1,000.| All nominations must be received at FBIHQ within 60 days  
| following the reassignment of the principal relief supervisor.

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(3) Nominations for the principal relief supervisor cash award may be submitted at any time. All nominations must state that the recommended individual meets all of the above criteria.

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## **5-15.6 On-the-Spot (OTS) Cash Awards Program**

OTS awards are designed to recognize, through immediate recognition, FBI employees who perform quality service in an exceptional manner while on duty or in the performance of duties related to FBI employment. These awards do not replace any existing awards, and employees who receive them may be considered for other recognition.

### **(1) Amount of Awards**

| \$50 to|\$500|in increments of \$50. The awards will  
| be net and will be ordered in amounts to cover withholding to ensure  
| actual amounts of \$50, \$100, \$150,|\$200, \$250, \$300, \$350, \$400, \$450,  
| and \$500.|

### **(2) Eligibility**

| All FBI employees at the GS-15|level and below|and WG  
| employees at the equivalent of the GS-15|level or below|are eligible.  
| An employee may receive no more than four (4) OTS|awards, and cannot  
| exceed a maximum of \$2,000,|in one|calendar|year.

### **(3) Qualifying Criteria**

Must be for work-related performance while on duty or in the performance of duties related to FBI employment; performance of additional duties while maintaining his/her own workload; accomplishing office goals in meeting short deadlines; solving unusual work-related problems; or single short-term incidences of exceptional work-related performance.

### **(4) Nomination**

(a) A recommending official (supervisor) may nominate any deserving employee by sending an e-mail to the approving official. Nominations should include the recipient's name, the recommended award amount, and a brief explanation of why the employee is being recommended for the award. Nominations should be made no more than two (2) weeks after the occurrence of the achievement being recognized, whenever possible.

(b) OTS awards should be granted individually. Groups cannot share the OTS awards. Withholdings are reflected in the salary records of the award recipient for tax purposes.

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(5) Approval

(a) The approving official should reply to the recommending official with either an approval or disapproval after receiving a recommendation from the recommending official. The recommending official then forwards the approval to the awards Point of Contact (POC) so he/she can deduct the money from the office awards budget. The recommending official should print a copy of the e-mail for the employee's drop file.

(b) If an employee is assigned to an office other than the one making the recommendation for recognition, the employee's division head or SAC should be contacted, and the recommendation should state that the recommendation is being made with the concurrence of the employee's division head or SAC. The funds for the OTS award will be deducted from the allotment of the office making the recommendation.

(c) Deleted

(6) Presentation

The employee should be notified of the OTS award in a public forum. The use of a certificate is optional.

(7) Award Allotment

The PRAU will notify each office/division of their one lump sum budget at the beginning of each fiscal year. This budget should be used for all awards.

(8) Office/Division Head Responsibilities

Office/division heads are requested to designate a point of contact to handle all awards matters to ensure that all employees comply with the OTS Awards policy. Also, a log/file should be maintained to track the awards and to account for the budget.

\*\*EffDte: 02/15/2005 MCRT#: 1371 Div: D3

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## **5-15.7 Time Off From Duty as an Incentive Award**

The Time-Off Awards are an enhancement of the Incentive Awards Program (IAP) to expand recognition afforded FBI employees for their excellent efforts and performance which is substantially above normal job requirements and performance standards. This program allows the presentation of time off, without loss of pay or charge to leave, in lieu of monetary recognition as an incentive award. Time-Off Awards are intended to recognize superior accomplishments or other personal efforts that contribute to the quality, efficiency, or economy of government operations and are not intended to be a substitute for monetary recognition through the IAP.

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(1) Criteria

The following are the types of contributions an employee must make in order to be eligible for a Time-Off Award. All contributions must be work-related performance while on duty or performance of duties related to FBI employment.

(a) Making a high-quality contribution involving a difficult or important project or assignment.

(b) Displaying special initiative and skill in completing an assignment or project before a deadline.

(c) Using initiative and creativity in making improvements in a product, activity, program, or service.

(d) Ensuring the mission of the FBI is accomplished during a difficult period by successfully completing additional work or a project assignment while still maintaining one's own workload.

(e) Deleted

(f) Producing additional benefits to the government as the result of especially effective and timely evaluation of an employee suggestion.

(2) Eligibility

(a) All employees are eligible for Time-Off Awards. An employee may be granted a Time-Off Award regardless of his/her length of service, and the receipt of a prior award is not disqualifying. However, the same contributions should NOT be used as the basis for a Time-Off Award and another award unless the Time-Off award or other award is deemed clearly NOT adequate to recognize the value of the employee's contributions.

(b) Time-Off Awards for Senior Executive Service (SES) members will be granted only incident to their annual performance appraisals, and they will be ineligible for Time-Off Awards throughout the year. Any exceptions will be based on highly unusual events and will require the approval of the SES Board and the Director.

(3) Amount of Award and Limitations

(a) The minimum amount of time off that may be given is four hours, and Time-Off Awards can only be used in increments of four hours or more unless an employee has less than four hours remaining of their allotment.

(b) A full-time employee may be granted a maximum of 40 hours of time off from duty as an award for any single contribution that meets the criteria.

(c) Time off granted to an employee must be

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scheduled and used within one year after the award is made, and this one-year period may extend into the next leave year. However, employees should be encouraged to use the award within 120 days. Leave not used within a year of receipt will be forfeited and is not restorable.

(d) The total amount of time off a full-time employee may be granted during any one leave year is 120 hours.

(e) For part-time employees or employees with uncommon tours of duty, the maximum amount of time off that can be

granted during any one leave year is the average number of hours of work in the employee's biweekly scheduled tour of duty, and the maximum amount that can be granted for any single contribution is one-half of the total leave year maximum.

(f) A Time-Off Award cannot be converted to cash under any circumstances. Time off can be transferred between offices within the FBI, but cannot be transferred to another federal agency. Also, time off cannot be recredited to an employee's account if the employee has a break in service from the FBI for more than three calendar days.

(g) There will be no limit on the number of employees who can be recognized with Time-Off Awards in a particular office. Each division/office head will have the authority to grant the amount of time off he/she deems appropriate and which is within the bounds of good management to ensure that the functions of the division/office are not adversely affected by the use of Time-Off Awards. When granting or recommending Time-Off Awards, consideration should also be given to the recipients' leave status, i.e., end-of-the-year "use or lose," when time off could be a burden on the division/office and adversely impact on operational needs.

(h) Employees in leave without pay (LWOP) status cannot use Time-Off Awards. Time-Off Awards cannot be granted to employees in an extended LWOP status.

(i) Use of a Time-Off Award should not affect an employee's Availability Pay.

(j) Time-Off Awards may only be granted for above-average, work-related performance while on duty or in the above average performance of duties related to FBI employment.

(4) Relationship to other Awards and Consideration for Promotion

The receipt of a Time-Off Award is not disqualifying for the subsequent granting of any other cash incentive or honorary award. However, the same contribution should not be used as the basis for a Time-Off Award and another award, unless the time off is deemed clearly not adequate enough to recognize the value of the employee's contribution. In such rare cases, it may be appropriate to couple a Time-Off Award with a cash award.

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(5) Approval Levels

(a) Awards may be approved by the division/office head, and awards in the range of 8 to 16 hours may be approved by first-line supervisors, without higher-level supervisory approval, except for those in the Senior Executive Service, provided he/she is at a level higher than those making the recommendations for the awards. Therefore, a Special Agent in Charge (SAC) may not recommend and approve an award. However, the Assistant Special Agent in Charge may make the recommendation for the SAC's approval.

(b) If an employee is assigned to an office other than the one making the recommendation for recognition, the employee's division head or SAC must be contacted, or first-line supervisor if the award is in the range of 8 to 16 hours, and the recommendation should state that the recommendation is being made with the concurrence of the employee's division head, SAC, or first-line supervisor. The employee's office point of contact will be responsible for entering the Time-Off Award.

(c) All Time-Off Award recommendations for members of the Senior Executive Service (SES) must be submitted to the PRAU where they will be forwarded to the SES Board and to the Director for their approval.

(6) Form FD-812

Form FD-812 should be used to submit recommendations. The form should contain the following information: Name of employee; Social Security Number; Number of hours of leave being granted; and a narrative of the employee's performance which warrants the recognition. When awards are for eight hours or less, the narrative may be a short, informative paragraph or two setting forth the reason(s) for the award.

(7) Time-Off Award Certificate

After the FD-812 has been approved by the division/office head, the Time-Off Award certificate should be prepared for presentation to the employee. The certificate should contain the following information: Name of employee; Number of hours of leave being granted; and the Date presented.

(8) Documentation Requirements

A Time-Off Award must be supported by written justification which indicates that the employee's contribution met one of the criteria for the granting of this award and clearly merits the amount of time off approved.

(9) Time Capture Record

Upon presentation of a Time-Off Award, the award should be recorded in the Bureau Personnel Management System (BPMS) through the screen specifically designed for these awards. The date

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presented is to be entered as the effective date. The leave can then be requested and used by the submission of an FD-282 (Leave Request). A notation should be made on the FD-282 that the request is for a Time-Off Award. The used leave should also be recorded in the BPMS and on the FD-420 (Attendance Register) or the FD-420a (Attendance Register/TURK) as a Time-Off Award.

(10) Deleted

\*\*EffDte: 06/24/2004 MCRT#: 1342 Div: D3

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## **5-16 CERTIFICATES OF COMMENDATION**

(1) A certificate of commendation may be recommended when an employee's contributions do not meet the criteria for a cash award but are of such significance that recognition is warranted.

(a) Recommendation for a certificate of commendation from the Director should be made only when the recommending official is convinced that certain elements of the employee's performance are above normal and reasonable performance expectations sufficient to warrant special recognition but do not meet the standards for a cash award.

(b) Recommendations for certificates of commendation from the Director may be submitted in electronic communication form or on the FD-255 for the attention of the head of office. However, if recommendations are being made for certificates of commendation in addition to recommendations for incentive awards, they may be added to the FD-255, with the appropriate justification.

(2) Letter from the division head or SAC. Division heads and SACs should commend their employees over their own signatures when it is believed an employee's performance warrants recognition but does not meet the requirements for a certificate of commendation from the Director.

(3) If recognition of a particular contract employee is deemed appropriate, a written communication to the Contracting Officer, with a copy to the Contracting Officer's Technical Representative, should be prepared. For recognition under the FBI's Incentive Awards Program, the PRAU no longer prepares letters of commendation for individuals who perform services to the Bureau through a contractual agreement.

\*\*EffDte: 07/19/2002 MCRT#: 1229 Div: D3

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## **5-17 LETTERS OF APPRECIATION TO NON-BUREAU PERSONNEL**

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Letters of appreciation may be recommended to recognize the efforts of individuals other than employees of the FBI who have contributed to the Bureau's mission or who have been cooperative in furthering our mission. Recommendations for such letters should be submitted on Form FD-468 (Correspondence Matters, Recommendation for Letter from Director), not on Form FD-255 (Recommendation for Incentive Award), and forwarded to the Executive, Congressional, and Public Constituent Services Unit (formerly Correspondence Unit), Office of Public and Congressional Affairs, FBIHQ. (See MAOP, Part II, 11-1.2, for details.)

\*\*EffDte: 05/13/1996 MCRT#: 541 Div: PA Cav: SecCls:

## **5-18 PUBLIC SERVICE AWARDS PROGRAM AND CERTIFICATES OF APPRECIATION**

Cooperative relationships between the FBI and the public have many benefits. There are three effective means to appropriately recognize the contributions made to the FBI's mission by private citizens or organizations.

\*\*EffDte: 08/30/1991 MCRT#: 0 Div: PA Cav: SecCls:

### **5-18.1 Public Service Award Plaques**

(1) Division heads and SACs have authority for the awarding of public service plaques in appreciation of highly significant contributions for presentation to private citizens or organizations located within the 50 states. All division heads and SACs must therefore establish proper procedures, including indices checks and a control file, to ensure that all candidates meet the following guidelines.

(2) Division heads and SACs should demonstrate that the individual or organization provided one of the following:

(a) Exemplary service in an advisory capacity to the FBI.

(b) Direct assistance to the FBI through actions or useful ideas which are beneficial in eliminating or minimizing problems or actively contribute to the FBI mission accomplishment.

(c) Assistance to the FBI of a highly significant nature through the cooperative use of facilities, equipment or manpower.

(d) Courageous or heroic action in support of FBI

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activity or mission.

| (3) |The field office can then use their supply account to  
| purchase the plaques. The use of appropriation funds to purchase  
| plaques for on-board Department of Justice employees is prohibited.|

| (4) |Plaques may be obtained from outside commercial  
| sources, including the FBIHQ Recreation Association Store, or a local  
| establishment of office's choice.|

\*\*EffDte: 02/27/1995 MCRT#: 370 Div: PA Cav: SecCls:

### **5-18.2 Certificates of Appreciation**

| (1) SACs or division heads may request a Certificate of  
| Appreciation for presentation to an individual|who|has rendered  
| assistance and/or cooperation to the Bureau, in lieu of letters of  
| appreciation. |The certificate should be presented by the SAC,  
| division head, or other appropriate FBI representative.|

| (2) The request with supporting justification should be  
| directed to the Executive, Congressional, and Public Constituent  
| Services Unit (formerly Correspondence Unit), OPCA, Room 6236, using  
| Form FD-468. There are|13|different certificates which should be  
| identified accordingly when requests are made. |Certificates are  
| further identified on Form FD-468.|

| (3) The Certificate of Appreciation is signed by the  
| Director and enclosed in a|cardboard|folder or a leatherette diploma  
| holder with a gold FBI seal applied on the cover. |(When requests  
| exceed 25, cardboard diploma holders with gold FBI seals will be  
| used.)|

\*\*EffDte: 04/13/1999 MCRT#: 874 Div: PA Cav: SecCls:

### **5-18.3 Certificate of Appreciation for Use by the Special Agent in Charge**

| (1) Each FBI field office has a supply of Certificates of  
| Appreciation enclosed in a blue paper folder designed to be signed and  
| presented by the Special Agent in Charge. The criteria of this  
| certificate are established by the Special Agent in Charge.

| (2) |The National Press Office, OPCA, |should be contacted  
| for additional Certificates of Appreciation for use by the Special  
| Agent in Charge.

\*\*EffDte: 02/29/1996 MCRT#: 496 Div: PA Cav: SecCls:

## 5-19 SUGGESTION PROGRAM

(1) The employee suggestion program can be a useful and important employee-management communication device. It allows the employee to suggest improvements in Bureau operations and enables management to reward those employees who make significant contributions.

(2) Suggestion awards are made to employees in recognition of idea-type contributions which directly contribute to productivity, economy, efficiency, or directly increase effectiveness in carrying out the FBI's programs or mission.

### (3) Criteria for Consideration of Suggestion

(a) The suggestion must be outside the employee's responsibility. In rare cases, contributions within the employee's job description may be awarded if they are so superior or meritorious as to warrant this special recognition. The official position description and performance requirements will be used to measure the acceptable level of competence and as the basis for determining what is normally expected of an employee occupying that position.

(b) The benefit to the FBI in terms of direct contributions in efficiency or economy must be equivalent to a savings of \$250 in order to qualify for a cash award. Benefits will usually be based on the first full year of operation following adoption of a suggestion. Benefits may be determined by estimating the net savings over a longer period when there are high first-year costs required to implement the suggestion. In instances where the value cannot be determined by estimated net savings, it will be determined by reference to the intangible awards table (see 5-19(6)(c)).

(c) Suggestions that deal with routine employee services, benefits, working conditions, housekeeping, or maintenance of buildings and grounds should be handled through normal administrative channels and not accepted into the suggestion system. Items of supply which can be procured through simple requisition, or proposals which offer no specific means to improve operations, should not be entered into the program unless the contribution to economy, efficiency or increased effectiveness of operation can be clearly demonstrated. Also, proposals which would obviously cost more to process than the tangible benefit achieved will not be evaluated under this program but will be returned for oral acknowledgment.

(d) Inventions and patent disclosures may serve as the basis for a suggestion award when the idea meets the criteria set forth above. The patent application and an analysis of the estimated direct dollar benefits will meet the minimum documentation requirements.

| (e) Suggestions that are submitted into the program  
| will not receive recognition if the idea has previously been submitted  
| or is currently under consideration by an FBI entity. |

(4) Documentation Requirements for Suggestion Awards

(a) Form FD-252 should be utilized to submit suggestions (original and three copies). If the suggestion relates to a form, submit four copies of the current form and four copies of the proposed form.

(b) Form FD-252 must be signed by the suggester and forwarded to the Performance, Recognition and Awards Unit, Administrative Services Division for appropriate action.

(c) A brief description of the current practice or procedure, if any, should be noted, as well as any manual citation, if appropriate.

(d) A description of the suggested change to existing practice or procedure, or if it is a suggestion to add a new practice or procedure, a description of what is to be added.

(e) An analysis of the direct estimated net dollar benefit which would result over the first 12-month period after adoption should be set forth. The suggester is to document as fully as possible the actual or anticipated savings which will result from adoption of a suggestion.

(5) Adoption of Suggestion and Group Awards

(a) Suggestions not adopted when made remain active for six months. If adopted within a six-month period, the original suggester will be entitled to consideration of an appropriate award. Suggestion becomes invalid if not evaluated within six months from the date of the suggestion.

(b) When awards are granted in connection with adopted suggestions, the use of the suggestion by the United States shall not form the basis of a further claim.

(c) If two or more employees independently and simultaneously submit identical suggestions, any award will be equally divided.

(6) Amount of Cash Award for Adopted Suggestions

(a) In the interest of uniformity, the amount of an award will be determined by FBIHQ; therefore, the amount of an award will be determined by FBIHQ and approved by the head of office or SAC.

(b) Cash awards resulting in tangible benefits will be determined in accordance with the following scale for such benefits:

TANGIBLE BENEFITS

AWARD

Up to \$100,000

10 percent of benefits



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\$100,001 and above  
in benefits

\$10,000 plus 1 percent of  
benefits over \$100,000

(c) Cash awards resulting in intangible benefits will be determined in accordance with the following scale: (See MAOP, Part 1, 5-19(3)(b).)

	VALUE OF BENEFIT		EXTENT OF APPLICATION	
	Limited	Extended	Broad	General
Moderate	\$ 25-125	\$ 125-325	\$ 325-650	\$ 650-1,300
Substantial	\$ 125-325	\$ 325-650	\$ 650-1,300	\$1,300-3,150
High	\$ 325-650	\$ 650-1,300	\$1,300-3,150	\$3,150-6,300
Exceptional	\$ 650-1,300	\$1,300-3,150	\$3,150-6,300	\$6,300-10,000

(d) Cash awards for suggestions will not affect the annual salary of an employee; however, federal withholding tax will be deducted from such award prior to payment.

(7) Streamlining Committee or Suggestion Coordinator (Optional). Each division may designate either a Suggestion Coordinator or Streamlining Committee. Their function is to facilitate suggestions to improve Bureau operations. This decision will be left to the discretion of the division head or SAC who is responsible for lending appropriate support to the Suggestion Program.

\*\*EffDte: 11/22/2002 MCRT#: 1245 Div: D3

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## **5-20 SERVICE AWARDS**

Certificates of service and service award keys are presented to Bureau employees in connection with their 10-, 20-, 25-, and 30-year anniversaries. Bureau employees celebrating their 40-, 45-, 50-, and 55-year anniversaries will receive congratulatory letters in lieu of certificates. Additional service awards follow:

(1) 35-Year Service Award

Scroll Award

(2) 40-Year Service Award

(a) Deleted

(b) Service award key cluster

(c) Engraved watch

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- | (d) |Deleted|
- (3) 45-Year Service Award
- | (a) |Deleted|
- (b) Three-dimensional plaque of FBI Seal
- | (c) |Bookends|
- | (d) |Deleted|
- (4) 50-Year Service Award
- | (a) |Deleted|
- (b) Cuff links and tie clasp for men
- (c) Brooch for women
- | (d) |Deleted|
- | (5) 55-Year Service Award
- | (a) Engraved crystal eagle
- | (6) 60-Year Service Award
- | (a) FBI Medal for Meritorious Achievement|

\*\*EffDte: 08/09/2000 MCRT#: 1007 Div: D3 Cav: SecCls:

### **5-20.1 Computation of FBI Service**

- (1) Based on total period(s) of active duty
- (2) Leave without pay in excess of six months is deducted
- (3) In general, any period of separation from the Bureau's rolls is deducted. Military service is credited for those employees who possess mandatory restoration rights to the positions they hold when they enter the military and who fulfill any criteria necessary to protect such rights.

\*\*EffDte: 08/29/1990 MCRT#: 0 Div: D3 Cav: SecCls:

### **| 5-20.2 Presentation of Service|Awards|**

- | (1) Anniversary awards should be presented to employees

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| by the heads of office. At the employee's request, the Director will  
| present, as his schedule allows, service awards to those employees  
| celebrating 25 years, or longer, of Bureau service who are assigned to  
| FBIHQ (excluding the Criminal Justice Information Services Division  
| employees assigned to Clarksburg, WV, but including any employees  
| assigned to Quantico, Virginia; Washington Field Office; and the  
| Critical Incident Response Group (CIRG)). Bureau employees in  
| Clarksburg, WV, and all field offices, other than CIRG, celebrating  
| 25-year, 30-year, or 35-year anniversaries who wish to meet with the  
| Director for presentation of their service awards need to submit their  
| request by EC with the understanding that all expenses are to be borne  
| by the requesting employee. The EC should be addressed to  
| Administrative Services, Attn: Performance, Recognition, and Awards  
| Unit (PRAU), Room 6860, at FBIHQ, at least one month prior to the  
| employee's anniversary.

| (2) The PRAU, via an EC, will contact all Bureau  
| employees assigned to field offices (excluding CIRG) celebrating a 40-  
| year anniversary or longer, through the employee's division front  
| office, inviting the recipient to travel to FBIHQ to meet with the  
| Director for presentation of his/her service award. Travel costs for  
| the recipient and one guest will be reimbursed by the Bureau.|

\*\*EffDte: 08/09/2000 MCRT#: 1007 Div: D3                      Cav:                      SecCls:

### **5-20.3    Loss of Service Award Key**

| A replacement key, at the employee's expense, may be  
| requested by submitting a communication to the PRAU, Administrative  
| Services Division, Room 6860. In the communication, the employee must  
| explain the reason for the request and should also include their  
| official Bureau name and entry on duty date, as well as a personal  
| check, cashier's check or money order made payable to the FBI. Due to  
| the fluctuating prices of gold, an employee must contact the PRAU to  
| obtain a current price.|

\*\*EffDte: 08/09/2000 MCRT#: 1007 Div: D3                      Cav:                      SecCls:

### **5-21    FEDERAL SERVICE EMBLEM**

A Federal service emblem, with FBIHQ concurrence, is available at the employee's specific request when an employee does not qualify for a Bureau service award key under the following circumstances:

(1) Employee must have completed at least 10 years of civilian and/or military service, exclusive of FBI service.

(2) Employee must have completed at least one year of FBI

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service.

\*\*EffDte: 08/25/1989 MCRT#: 0      Div: D3      Cav:      SecCls:

## 5-22 RETIREMENT PLAQUE

| A retirement plaque is authorized for presentation to  
| employees who retire, including disability retirements, from the  
| Federal Government while employed by the FBI regardless of their years  
| of FBI service. These employees may be eligible for retirement under  
| the provisions of the Civil Service Retirement System or the Federal  
| Employees Retirement System. Special Agent badges and credentials or  
| support employee credentials or identification cards may be  
| appropriately mounted on the plaque. The employee may request a  
| walnut shield-type plaque without badges, credentials or cards. The  
| retirement plaque will reflect only the dates of FBI service. |

\*\*EffDte: 08/25/1989 MCRT#: 0      Div: D3      Cav:      SecCls:

### 5-22.1 Request for Retirement Plaque

(1) Type of plaque and employee's desire for such plaque, as well as approval by division head or SAC, should be determined at time of exit interview and appropriately indicated on the exit interview form (FD-193).

(2) FBIHQ division heads and SACs should ensure that credentials and badges or identification cards are submitted by routing slip to FBIHQ in a sealed envelope at least 45 days prior to retirement date. Credentials and badges or identification cards should be submitted to FBIHQ by registered mail, Attention:  
| Employee Benefits Unit, | Personnel | Division.

\*\*EffDte: 04/21/1994 MCRT#: 226      Div: D3      Cav:      SecCls:

### 5-22.2 Presentation of Retirement Plaque

(1) The Director will personally present, as his schedule allows, retirement plaques to employees assigned to FBIHQ and to the Washington Metropolitan Field Office, at the employee's written request. These requests should be made at the time of the exit interview to Attention: Employee Benefits Unit, | Personnel | Division.

(2) In the Director's absence, retirement plaque will be presented by the FBIHQ division head or SAC.

(3) In the field, exclusive of Washington Metropolitan Field Office, SACs or, in their absence, ASACs will present retirement plaque to recipient employee.

\*\*EffDte: 04/21/1994 MCRT#: 226 Div: D3 Cav: SecCls:

## **5-23 MEMORIAL PLAQUE**

A memorial plaque is authorized, but only after the specific request of surviving family member(s), for a Bureau employee who dies while on the rolls, without regard to age or length of Bureau service. Requests should be forwarded to FBIHQ, Attention: Employee Benefits Unit, Administrative Services Division.

(1) In each instance, the availability of a plaque should be communicated to the next of kin.

(2) The memorial plaque will be identical to the employee retirement plaque, with the exception of the inscription and the perforation on the credentials.

(3) The inscription plate will read "Presented to the Family of \_\_\_\_\_, in Memory of his (her) Loyal and Devoted Service to the Federal Bureau of Investigation, 19\_\_ - 19\_\_."

(4) Deleted

\*\*EffDte: 08/26/2002 MCRT#: 1224 Div: D3 Cav: SecCls:

### **5-23.1 Memorial Plaques for Agents Killed in the Line of Duty but Not Necessarily During an Adversarial Confrontation**

(1) The FBI has long honored Agents killed in the line of duty as a result of direct adversarial impetus--that is, at or by the hand of an adversary, or who die as a result of an adversarial confrontation. These Agents' names have been placed on a permanent plaque so that their great sacrifice will always be remembered. The inscription on this plaque reads: "In memory of Special Agents of the Federal Bureau of Investigation who were killed in the line of duty as the direct result of an adversarial action." The criterion for inclusion on this plaque is as follows: "Agent or Agents who are killed in the line of duty as a result of direct adversarial impetus--that is, at or by the hand of an adversary or who die as a result of an adversarial confrontation." The plaque consists of the names of the Agents under the Special Agent badge.

(2) The FBI also honors those Agents who lose their lives

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in the performance of their duty, but not necessarily during an adversarial confrontation. The inscription on this plaque will read: "In memory of Special Agents of the Federal Bureau of Investigation who lost their lives in the performance of a law enforcement duty." This would include situations involving "hot pursuit" of criminals and when death results from the Agent taking immediate action to save the life or lives of others. It would not include deaths caused, in whole or in part by voluntary intoxication of the Agent, internal misconduct of the Agent, the Agent's intention to bring about his/her death (suicide) or gross negligence by the Agent. Specific guidelines for inclusion on this new plaque have been developed. FBIHQ will decide which Agents are to be honored.

(3) Both plaques will be prominently displayed, side by side, in the Hall of Honor at the FBI Academy at Quantico, FBIHQ, and in all field offices.

\*\*EffDte: 08/30/1991 MCRT#: 0      Div: D3      Cav:      SecCls:

## **5-24 HONORARY MEDALS PROGRAM (HMP)**

(1) The HMP is an enhancement of the Incentive Awards Program and was created to expand recognition afforded FBI employees by allowing the presentation of honorary medals in acknowledgement of their acts of heroism, valor and meritorious achievements. The medals are: FBI Medal of Valor; FBI Shield of Bravery; FBI Medal for Meritorious Achievement; FBI Star; and FBI Memorial Star. The medals are 14k gold filled and accompanied by replica 14k gold-filled lapel pins. They are engraved on the reverse sides with the names of the honorees and placed in decorative shadow boxes for presentation.

(2) These medals may also be presented to federal, state, and local law enforcement personnel who are detailed to or working with the FBI in an investigative capacity under the Bureau's direction for performance in the direct line of duty, or within the scope of their assigned duties relating to the FBI's mission.

(3) In instances where recognition of a group is warranted, in lieu of individual medals, the approved medal mounted on a plaque and imprinted with the names of the honorees is awarded to the office to which the group is assigned. Each recipient is presented with an individual award device as well as a replica lapel pin.

\*\*EffDte: 04/21/1999 MCRT#: 875      Div: D3      Cav:      SecCls:

### **5-24.1 Qualifying Criteria for FBI Employees**

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(1) FBI Medal of Valor

- (a) Exceptional (extreme) act of heroism.
- (b) Voluntary risk of personal safety and life.
- (c) Act occurs in the direct line of duty and/or within scope of FBI employment and in the face of criminal adversary(s).
- (d) Resolution and fortitude are of such a degree as to overcome several obstacles to neutralize a significant life-threatening crisis.

(2) FBI Shield of Bravery

- (a) Brave and courageous acts occurring in the direct line of duty and/or within the scope of FBI employment.
- (b) Voluntary risks in hazardous duties to extend major assistance to, i.e., task force or undercover operations, grave situations and/or crisis confrontations associated with the highest priority cases of the FBI.
- (c) Performance occurs on duty and may include action in connection with a high-priority police cooperation matter or organized crime penetration. (For example, involving lead hostage negotiators or undercover Agents, continuously exposed to hostile, dangerous individuals.)

(3) FBI Medal for Meritorious Achievement

(a) FBI Service

1. Awarded for extraordinary and exceptional meritorious service in a duty of EXTREME challenge and GREAT responsibility; i.e., a sufficient accumulation of DEMONSTRATED DEEDS and ACTS of such magnitude, over a requisite time period, to clearly judge the employee's service to the FBI and Nation to be beyond our highest expectations (beyond performance solely justifying Quality Step/Increases, or significantly substantial cash awards).

2. Extraordinary and exceptional achievements in connection with criminal or National Security cases, as well as senior executives who have given long and outstanding service upon their retirement, etc.

(b) Exceptional Performance

1. A decisive, exemplary act that results in the protection of life (lives) or the direct saving of life (lives) in severe jeopardy.

2. The recipient need not be in any risk of danger to his/her life or personal safety.

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3. The lifesaving act or deed may occur during, before, or after the employee's official duty hours. For example, ranging from a support employee's cardiopulmonary resuscitation act to a SWAT member's success in properly neutralizing an extremely dangerous subject with hostages.

4. Brave and courageous acts occurring in the direct line of duty and/or within the scope of FBI employment or voluntary risks in hazardous duties which are not at a level to justify the FBI Shield of Bravery, but are of such magnitude that a medal is appropriate recognition.

(4) FBI Star

(a) Serious injury sustained in the direct line of duty from physical confrontation with criminal adversary(s), or by a device for purposes of ambush.

(b) Injury inflicted by weapons to include hands, fists, feet, clubs, (blunt instruments), knives, firearms, and explosives.

(c) The FBI Star is awarded for gunshot wounds of any variety inflicted as a result of an adversarial action when it is determined that the injured employee was acting in accordance with governing policy and exercising reasonable judgment.

(d) Injury in the case of all weapons, with the exception of gunshot wounds, that are so severe as to require substantial emergency room sutures, hospitalization and/or COMPREHENSIVE medical treatment for a SUSTAINED period of time (e.g., severe concussion and broken bones).

(e) Superficial abrasions, skin discolorations, sprains and other minor injuries will be disqualified for consideration in most cases.

(5) FBI Memorial Star - Death when killed in the line of duty as the direct result of an adversarial action; loss of life in the performance of a law enforcement duty; and when actions resulting in death occur in the scope of FBI employment and in the face of criminal adversary(s). Note: Under circumstances wherein an Agent is slain "in the scope of FBI employment," the propriety of the actions must be adjudicated internally prior to the presentation of the FBI Memorial Star.

\*\*EffDte: 04/25/2001 MCRT#: 1096 Div: D3

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## **5-24.2 Qualifying Criteria for Law Enforcement Personnel**

(1) FBI Medal of Valor

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(a) Exceptional (extreme) act of heroism.

(b) Voluntary risk of personal safety and life.

(c) Act occurs in the direct line of duty and/or within scope of employment while detailed to or working with the FBI in an investigative capacity under Bureau direction and in the face of a criminal adversary(ies).

(d) Resolution and fortitude are of such a degree as to overcome several obstacles to neutralize a significant life-threatening crisis.

(2) FBI Shield of Bravery

(a) Brave and courageous acts occurring in the direct line of duty and/or within scope of employment while detailed to or working with the FBI in an investigative capacity under Bureau direction.

(b) Voluntary risks in hazardous duties connected to task force or undercover operations, or grave situations and/or crisis confrontations associated with the highest priority cases of the FBI.

(c) Performance occurs on duty and includes actions in connection with a high-priority police cooperation matter or organized crime penetration. (For example, involving lead hostage negotiators|or|undercover roles, continuously exposed to hostile, dangerous individuals.)

(3) FBI Medal for Meritorious Achievement

(a) Brave and courageous acts occurring in the direct line of duty and/or within the scope of employment while detailed to or working with the FBI in an investigative capacity under Bureau direction or voluntary risks in hazardous duties which are not at a level to justify the FBI Shield of Bravery, but are of such magnitude that a medal is appropriate recognition.

(b) A decisive, exemplary act that results in the protection of life (lives) or the direct saving of life (lives) in severe jeopardy.

(c) The recipient need not be in any risk of danger to his/her life or personal safety.

(4) FBI Star - Serious injury sustained in the direct line of duty from a physical confrontation with a criminal adversary(ies), or by a device for purposes of ambush while detailed to or working on an FBI investigation under Bureau direction.

(5) FBI Memorial Star - Death in the line of duty as the direct result of an adversarial action; loss of life in the performance of a law enforcement duty; and when death occurs in the face of a criminal adversary(ies) while detailed to or working with FBI investigative matters under Bureau direction.

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### 5-24.3 Nomination Procedures

(1) |Nominations for honorary medals are to be submitted on Form FD-255a within a reasonable time period after the occurrence of the act, deed, or service to be honored. If more than one year has lapsed since the incident occurred, the field or Headquarters head of office must specifically address the reasons why more timely recognition was not sought.

| Note: Effective December 31, 1999, medal recommendations based on events that occurred prior to 1989 will no longer be accepted. |

(2) |The FBI Memorial Star is intended to be presented to the primary next of kin as soon as possible after the interments of Special Agents or federal, state, or local law enforcement personnel killed in the line of duty or in the performance of a law enforcement duty. |

(3) |Any individual having personal knowledge of an act, deed, or service believed to merit an honorary medal may submit a statement of facts to a field or Headquarters head of office. Each head of office is required to PERSONALLY screen the nomination and include comments concerning the specifics of the event and employees' performance in terms of criteria for the medal(s) being recommended, and submit it, by Form FD-255a, to the Performance, Recognition and Awards Unit (PRAU). A division head should also comment negatively if he/she believes the medals' criteria were not met. It is crucial that appropriate supporting documents, e.g., administrative inquiry reports when an event involved an Agent's use of his/her weapon, newspaper clippings regarding the event, and the like are attached to the recommendation. |

| (4) | Recommendations of medals for federal, state, and local law enforcement personnel should be made by the FBI office/division head where the activity warranting the medal took place and must also contain the concurrence of the head of the employing agency.

| (5) | The FD-255a should be submitted to the PRAU, | Administrative Services Division. |

| (6) | In the interest of timeliness when recommendations are made for the FBI Memorial Star, immediate|electronic communication (EC)|may be submitted to the PRAU. The|EC|should include a succinct description of the circumstances wherein an Agent or law enforcement employee was killed.

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**| 5-24.4 | FBIHQ Approval Process (Moved from 5-24.7)|**

| A panel, chaired by the Assistant Director of the  
| Administrative Services Division (ASD) and consisting of two Special  
  
| Agents in Charge and two Special Agents, is convened as often as  
| necessary to review medal nominations and make recommendations to the  
| Deputy Director. Representatives of the Employee Assistance Unit,  
| Shooting Incident Review Group, and the PRAU are also present to  
| assist the voting members of the panel. The criteria for the Memorial  
| Star, and in some cases, the FBI Star, are sufficiently clear to allow  
| for the submission of a recommendation by the ASD without convening a  
| panel. |

\*\*EffDte: 04/21/1999 MCRT#: 875 Div: D3 Cav: SecCls:

**| 5-24.5 | Presentation of Medals (Moved from 5-24.6)|**

| (1) The FBI Memorial Star will be presented by the Director  
| or his personally designated representative to the primary next of  
| kin. |The order of precedence to establish the primary next of kin as  
| surviving spouse, eldest child, father or mother, eldest sibling, or  
| eldest grandchild is in accordance with the manner prescribed in the  
| Department of Army regulations governing posthumous awards and  
| decorations. |

| (2) |The FBI Medal of Valor, Shield of Bravery, Medal for  
| Meritorious Achievement, and FBI Star are normally presented by the  
| head of the office to which the recipient is assigned in a suitable  
| ceremonial setting. |

| (3) |Upon approval of each medal, the submitting office will  
| be advised to plan a presentation ceremony and coordinate with the  
| PRAU to ensure that the medal is appropriately inscribed and forwarded  
| to the office in time for the event. |

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**| 5-24.6 | Moved to 5-24.5|**

\*\*EffDte: 04/21/1999 MCRT#: 875 Div: D3PA Cav: SecCls:

**| 5-24.7 | Moved to 5-24.4 |**

\*\*EffDte: 04/21/1999 MCRT#: 875 Div: D3 Cav: SecCls:

**5-25 DIRECTOR'S ANNUAL AWARDS FOR EXCELLENCE**

The Director's Annual Awards for Excellence offer the Director and other FBI officials the opportunity to recognize, in a public ceremony, Bureau employees for their outstanding contributions and exceptional service to the FBI and its mission. There are 17 categories of awards, and to the extent the quality of the award nominees warrant, the opportunity exists to present more than one award per category. Also, more than one employee will be eligible for consideration to receive one award, e.g., a group award. A two-tiered system will be used with the first tier consisting of three awards. The second tier will be only slightly lower in significance and will consist of 14 awards.

\*\*EffDte: 07/19/2002 MCRT#: 1229 Div: D3 Cav: SecCls:

**5-25.1 First Tier**

(1) The Director's Annual Award for Excellence in Management

(a) Description: This award is designed for someone in a supervisory position, not necessarily a Special Agent Supervisor, and is one of the three highest awards the Director can bestow.

(b) Criteria: The nominee must have demonstrated outstanding leadership and have made extraordinary contributions or achievements in the improvement of operational or program effectiveness, efficiency or productivity; have reduced or eliminated costs through innovative or special managerial or administrative efforts and initiatives; or have benefited the FBI through the reduction or elimination of fraud, waste, mismanagement or abuse.

(2) The Director's Annual Award for Excellence in Investigation

(a) Description: This award is designed for someone who has made significant contributions to an investigation and is one of the three highest awards the Director can bestow.

(b) Criteria: The nominee must have achieved major accomplishments in an investigation(s) and demonstrated extraordinary competence in complicated, long-term, and/or sophisticated cases of

major significance.

(3) The Director's Annual Award for Excellence in Investigative Support

(a) Description: This award is designed for someone in a support capacity, with eligibility extended to both support employees and Agents, and is one of the three highest awards the Director can bestow.

(b) Criteria: The nominee must have demonstrated exceptional motivation, initiative, and performance in the support of investigative efforts and/or displayed extraordinary achievements that overcame unusual difficulties or unique situations of great importance to the mission of the FBI.

\*\*EffDte: 02/29/1996 MCRT#: 495 Div: D3 Cav: SecCls:

## **5-25.2 Second Tier**

(1) The Director's Award for Distinguished Service to the Law Enforcement Community

(a) Description: This award is designed for someone who contributed to better relations among law enforcement and/or governmental agencies.

(b) Criteria: The nominee must have demonstrated an exceptional ability to work with outside agencies, resolve difficulties and differences, and achieved significant results through coordinated law enforcement and/or governmental agency efforts.

(2) The Director's Award for Information Management or Technical/Scientific Advancement

(a) Description: This award is designed for someone who develops law enforcement techniques in the area of information management, technical services, or scientific advancement.

(b) Criteria: The nominee must have made outstanding achievements in the area of information management, technical services, or scientific advancement that significantly contributed to the mission of the law enforcement community or resolving a case of major importance.

(3) The Director's Award for Outstanding Criminal Investigation

(a) Description: This award is designed for someone involved in a criminal investigation(s) of a significant nature.

(b) Criteria: The nominee must have demonstrated

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extraordinary ingenuity, initiative, and competence in overcoming serious obstacles and achieved significant results in a complex criminal investigation(s) of major importance.

(4) The Director's Award for Outstanding National Security Investigation

(a) Description: This award is designed for someone who is involved in a National Security investigation of a significant nature.

(b) Criteria: The nominee must have demonstrated extraordinary ingenuity, initiative, and competence in overcoming serious obstacles and achieved significant results in a National Security investigation(s) of major importance.

(5) The Director's Award for Outstanding Counterterrorism Investigation.

(a) Description: This award is designed for someone who is involved in a counterterrorism investigation of a significant nature.

(b) Criteria: The nominee must have demonstrated extraordinary ingenuity, initiative, and competence in overcoming serious obstacles and achieved significant results in a counterterrorism investigation(s) of major importance.

(6) The Director's Award for Distinguished Service by a Support Employee

(a) Description: This award is designed for a support employee who has made exceptional contributions to the FBI.

(b) Criteria: The nominee must have demonstrated outstanding motivation, initiative, and performance in support of the FBI's mission and/or displayed significant achievements that overcame unusual difficulties or unique situations.

(7) The Director's Award for Sustained Distinguished Service

(a) Description: This award is designed for someone who has contributed to the FBI for an extended period of time, an "unsung hero" award.

(b) Criteria: A nominee in this category ideally will have demonstrated significant contributions to the FBI over a period of 20 years or longer. Service of less than 20 years will be considered relative to the candidate's potential length of career service, scope of accomplishment, and eligibility under other award categories. The contributions on a single project or investigation may not be sufficiently significant to justify a Director's award. However, the totality of their service to the FBI warrants special recognition.

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(8) The Director's Award for Distinguished Service by a New Employee

(a) Description: This award is designed for someone who significantly contributes to the FBI with less than five years in the FBI and is to serve as an incentive and role model for all employees, especially new employees. This is a type of "Rookie of the Year" award.

(b) Criteria: The nominee must have demonstrated exceptional ability and resourcefulness to overcome obstacles in light of limited experience that significantly contributed to fulfilling the FBI's goals.

(9) The Director's Award for Exceptional Public Service

(a) Description: This award is designed for an individual or organization outside of the FBI who contributed to the FBI's mission, a "public service" award.

(b) Criteria: The nominee must have demonstrated great unselfishness and public consciousness in assisting the FBI in achieving exceptional results.

(10) The Director's Award for Equal Employment Opportunity

(a) Description: This award is designed to recognize the most significant contribution(s) to the Equal Employment Opportunity (EEO) Program.

(b) Criteria: This award is not restricted to EEO Program officials. A nomination may be for any manager or employee who has made significant contributions to the FBI's EEO Program. These contributions could be in the areas of leadership, training, recruitment, conciliation, or any other activity that enhances employment opportunities for women and minorities including Blacks, Hispanics, Native Americans and Asian Americans within the FBI. Consideration should be given for accomplishment(s) in the following area(s):

1. Performance of a special service beyond the normal job requirements which results in significant improvement and effectiveness of EEO Program operations.

2. Development and implementation of a program or activity which greatly improves public understanding of the FBI's EEO Program and the Agency mission.

3. Development and implementation of a program or activity which greatly improves employees' understanding of the FBI's EEO Program and the Agency mission.

4. Performance of a single or continuing act which clearly strengthens the effectiveness of some aspect of the EEO process.

5. Performance in the implementation of EEO activities and programs which addresses the career needs and concerns of FBI employees, and contributes to the fostering, understanding, harmony and cohesiveness within the FBI workforce.

6. Other EEO-related accomplishments or activities that enhance the EEO Program.

7. Contributions to the EEO Program that are especially innovative, or that employ a unique approach to EEO concepts (e.g., a new recruitment initiative or EEO planned event).

8. Where an individual creatively defused a potentially volatile EEO situation or through mediation of a particularly egregious EEO issue.

| (11) | The Director's Award for Outstanding Service to Disabled Employees or by a Disabled Employee.

(a) Description: This award is intended to be given to the employee who has rendered outstanding service to disabled employees, or a disabled employee whose above-average performance warrants recognition.

(b) Criteria: Recognition may be received for such services as recruitment, employment, providing services, accommodations or equipment for disabled employees; or, a disabled employee may be recognized for his/her exemplary performance in the face of formidable obstacles.

| (12) | The Director's Award for Special Achievement

(a) Description: This award is designed for a Special Agent or support employee who has excelled in a specific area of expertise or in a foreign service assignment, and whose achievements do not fit other categories of the Director's Awards.

(b) Criteria: The nominee must have demonstrated extraordinary initiative, ingenuity, competence and performance in his/her area of expertise or in areas of foreign service or any specialization that enhances the mission of the FBI.

| (13) | The Thomas E. DuHadway Humanitarian Award

(a) Description: This award is designed to recognize Bureau employees that best exemplify former Assistant Director DuHadway's constant, unqualified willingness to help others through personal crises, regardless of their position, age, race, sex or religion, with no expectations of personal gain or recognition.

(b) Criteria:

1. Nominee must be an employee of the FBI.

2. Nominee has responded to the needs of a



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fellow FBI employee or the employee's family with an unqualified willingness to help the employee through a time of personal or family crisis without regard for their position, age, race, sex or religion.

3. The nominee volunteered time to help a member of the FBI family solve a personal problem or unsolicited assistance of a positive nature that aided the employee or their family.

4. The employee's contributions or assistance had a significant, positive effect on the resolution of the personal crisis involved and/or otherwise is clearly recognizable as an action which others should seek to emulate in the spirit demonstrated by former Assistant Director DuHadway.

| (14) | The Manuel J. Gonzalez Ethics Award

(a) Description: This award is designed to recognize Bureau employees who best embody former Assistant Director Gonzalez's example of unwavering ethical standards, professional ideals, and reputation for organizational integrity.

(b) Criteria:

1. Nominee must be an employee of the FBI.

2. Eligibility extends to three qualifying forms of ethical display. One of the following, or combination thereof, will be deemed suitable:

a. Nominee's FBI career has been distinguished by his/her extraordinary commitment to the FBI's code of conduct in both professional and private life.

AND/OR

b. Nominee has demonstrated an extraordinary sense of ethics in overcoming a significant dilemma or withstanding a specific crisis as it relates to his/her official FBI duties or employment with the FBI.

AND/OR

c. Through nominee's display of ethical standards in a specific instance, public trust in the FBI, or law enforcement in general, has been markedly enhanced or fortified.

3. Nominee has significantly improved the FBI's internal ethics or standards of conduct program through exceptional individual effort, contribution, or example.

4. Nominee has substantially enhanced the federal government's Standards of Ethical Conduct program through exceptional individual effort, contribution, or example.

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5. Nominee has personified the FBI's Core Values of rigorous obedience to the Constitution, respect for the dignity of all; compassion; fairness, and uncompromising personal and institutional integrity through either sustained outstanding performance of day-to-day duties or special acts.

6. Nominee has substantially improved the public's perception of the FBI's commitment to individual and institutional integrity through exceptional individual effort or contributions in the community.

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### **5-25.3 Awards**

The first-tier awards will consist of a \$5,000 cash award and a noncash award, i.e., plaque, statue, certificate, etc. The second-tier awards will consist of a \$3,000 cash award and a noncash award. |(NOTE: Nonwork-related performance recognized under the EEO category, e.g., community services, will be recognized with an award device only. Work-related performance in this category will be recognized with a cash award.)| Provided that the size of a group receiving one award, e.g., a group award, is not excessive, each member of the group will receive the full cash amount of the award. If the size of the group is deemed excessive, the selection panel will make a recommendation on the size of the award for each member of the group, based on what is reasonable and the circumstances at hand. A noncash award will be presented for the Thomas E. DuHadway Humanitarian Award and the Manuel J. Gonzalez Ethics Award; however, in keeping with the nature of these awards, there will be no accompanying monetary recognition.

\*\*EffDte: 01/29/1999 MCRT#: 855 Div: D3

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### **5-25.4 Nominations**

Nominations will be made by the heads of FBI field and FBIHQ divisions/offices. Each nomination must be submitted via a cover page which contains the personal endorsement of the division/office head. Nominations arising from investigative work must also be endorsed by the appropriate United States Attorney or responsible department. Where participation in an investigation is the primary basis for a nomination, the strongest background and support can be derived from cases which have been adjudicated through the initial trial phase. However, in recognition of the delays which are inevitable in bringing some cases to trial, nominators should, at a minimum, carefully consider and include a brief assessment of the expected outcomes for nominations supported by investigations which have yet to be adjudicated.

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(1) When an office nominates an employee from another FBI division or field office, the nominating office must include a brief statement noting concurrence from the nominee's division/office head. Nominators are urged to consider all well-qualified individuals in order to contribute toward a proper representation of employees at all levels in both the support and Agent career paths.

(2) Division/office heads may submit a limit of one nomination for each category. Nominations shall be individually typed on plain bond paper, single-spaced, and must not exceed five pages in length. All pages must be headed with the name of the award, the nominee's official Bureau name and title, Social Security Number, grade, and office of assignment.

(3) A one paragraph synopsis of the achievement(s) upon which the nomination is based must be included. The synopsis should be concise, descriptive, and fully outline the outstanding achievement(s) related to the award for which the employee is nominated. It should be written with the assumption that the nominee will be selected for the award, and the paragraph will appear in briefing material and/or an awards program booklet for public dissemination.

(4) Newspaper articles and/or other forms of supporting material may be submitted; however, the selection panel reserves the right to not review this material in their deliberations dependent upon the overall volume of information received.

(5) Nominees must have received a Meets Expectations rating on their last Performance Appraisal Report. Ordinarily, an employee who is the subject of a pending administrative inquiry which could result in disciplinary action should not be recommended for an award.

(6) Submit all nominations to the Performance, Recognition and Awards Unit (PRAU), Administrative Services Division, FBIHQ, except the following:

(a) Nominations from Legal Attache Offices are to be forwarded to the Office of International Operations for initial screening and approval before submission to the PRAU.

(b) Nominations containing details of national security investigation(s)/matter(s) must be forwarded to the Deputy Assistant Director, Counterintelligence Division, Room 4012, FBIHQ, for preliminary review.

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## **5-25.5 Selection Process**

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An awards selection panel composed of representatives, both Agent and support, of FBI Headquarters and the field will be convened by the Assistant Director of the Administrative Services Division to review the nominations and make final recommendations to the Director. Those nominated for first-tier awards will automatically be considered for second-tier awards should they not be selected for a first-tier award. Likewise, those nominated for second-tier awards will automatically be considered for a first-tier award. Nominees will also be eligible for consideration in other categories within the same tier if they meet the criteria of the respective category. The final decision will be made by the Director based on the recommendations made by the selection panel.

\*\*EffDte: 07/19/2002 MCRT#: 1229 Div: D3 Cav: SecCls:

### 5-25.6 Ceremony

An annual awards ceremony will be held in the Bonaparte Auditorium in the J. Edgar Hoover F.B.I. Building, followed by a reception in the recipients' honor. The Director will preside over the ceremony which will be attended by representatives of the recipients' office of assignment and FBI executives. Recipients and one immediate family member each will attend the ceremony on reimbursable travel expenses; however, the recipients will be allowed to invite any other family members, guests, and Bureau employees of their choosing.

\*\*EffDte: 02/29/1996 MCRT#: 495 Div: D3 Cav: SecCls:

\*\*\*\*\* END OF REPORT \*\*\*\*\*

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